

# MONEY AS A WEAPON SYSTEM (MAAWS)



## *MNC-I CJ8 SOP*



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*MNC-I CJ8*

This version of the MNC-I MAAWS Book supersedes all previous editions



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## **INTRODUCTION**


Operation Iraqi Freedom (OIF) is undoubtedly the most complex and challenging fiscal environment in our Nation's military history. It is a very dynamic, full spectrum operation transcending both the kinetic and non-kinetic fights simultaneously. Where money was just a force enabler in conventional warfare, in Operation Iraqi Freedom, Money is a Weapon System – a potent arm in the Commander's arsenal much like a rifle or an artillery round is to a Soldier in the kinetic fight.

Leaders at every level of our 28 nation, joint and combined force play a crucial role in resourcing the force for victory. This manual can help every leader understand his role in resourcing the Multi-National Force/Corps – Iraq and how to properly acquire funding for their operations.

This manual is an amalgam of the variety of systems that you will need to navigate to keep your formations resourced for victory. Resourcing a military formation in combat is a tall order by anyone's measure. It is our intent that the policies and procedures promulgated in this manual will help you to achieve your mission successfully while adhering to sound principles of good fiscal stewardship.

Everyday, we face a formidable and resourceful enemy. It is incumbent upon each of us to ensure we understand the Commander's vision and intent on how they plan to defeat this enemy and ensure that they are fully resourced to do so on every front. As Resource Managers, our mission is to know the operations we are charged to support across the entire spectrum – tactical, operational and strategic and resource them with the most efficient and effective means available. Make no mistake, to be an effective military Comptroller in OIF, you must first be a War Fighter and an integral member of the Commander's team, and then both a master and student of the Comptroller profession. This manual is meant to facilitate that end.

**Resourcing the Spearhead of Victory!**



THOMAS A. HORLANDER  
COLONEL, US ARMY  
MNC-I CJ8 (Comptroller)



## **RESOURCE MANAGEMENT ROE**

Operations demand a tremendous amount of taxpayer resources. In order to maximize effectiveness, leaders in the battlespace must keep some basic resource management rules of engagement in mind as they prosecute the fight.

- Use funds appropriated/identified for the requirement
- Abide by contract law, funding policy, and FRAGOs
- Take positive steps to reduce costs, keeping in mind that major cost drivers are often “hidden” in LOGCAP & the Standard Army Retail Supply System (SARSS)
- Be judicious in the use of U.S. and Iraqi resources
  - Litmus test – time, purpose, amount, bonafide need
  - Institute a robust Management Control Program (MCP)
  - Expect increasing congressional and audit focus as we continue to prosecute the war
- If you are not sure, by all means ASK; seek expert advice from the professional community: SJA, Contracting, MNC-I C8, etc...

## **“COMBINED ARMS FUNDING”**

Commanders possess a broad range of resource options with which to accomplish their assigned missions. Some requirements may be resourced using funds organic to your command—like Operation and Maintenance. Others may require coordination or support from other entities.

Regardless of the requirement, or the type of funding appropriate to meet that requirement, resources are a “weapon” that commanders may choose either to ignore—with consequences—or strap on and employ. Although requirements differ, the steps in the resource management processes are remarkably consistent:

- Work to identify/scope requirement
- Estimate cost and choose appropriate funding stream
- Attain required approval(s)
- Purchase goods or services
- Oversee requirement to receipt/completion
- Notify when goods/services are received or project complete
- Secure appropriate documentation



## **KEY RESOURCE BOARDS/COUNCILS**

MSCs that tie-in to corporate decision processes generally have more success attaining resources—here are some key resource-related deliberative bodies:

### ➤ **MNF-I STRATEGIC RESOURCE COUNCIL**

- **PURPOSE:** Assess U.S. Government funding sources and maximize effects of all financial resources supporting the Campaign Plan.
- **VOTING MEMBERS:** MNF-I CoS, MNC-I CoS, MNSTC-I CoS, GRD CoS, MNF-I DCS STRATEFF, MNF-I DCS SPA, MNF-I DCS STRATOPS, and senior representatives from Department of State, USAID, and IRMO.
- **CHAIR:** MNF-I Chief of Staff
- Scheduled on a quarterly basis but may meet more often as required.

### ➤ **JOINT ACQUISITION REVIEW BOARD (JARB) (MNC-I FRAGO 062)**

- **PURPOSE:** MNC-I level board validates requirements estimated to cost \$200K or more. Validates those less than \$200K in specific areas including (but not limited to), engineer equipment, facilities, and LOGCAP
- **VOTING MEMBERS:** Field grade officer from C3, C4, C7, C8, SJA, and others as required.
- **CHAIR:** MNC-I C8
- Coordination occurs electronically

### ➤ **JOINT FACILITY UTILIZATION BOARD (JFUB) (MNC-I FRAGO 062)**

- **PURPOSE:** Oversees construction and base camp development, including MILCON, minor construction using OMA, real estate actions, and other engineering requirements
- **VOTING MEMBERS:** Representatives from C3, C-4, C-7, C-8, and SJA
- **CHAIR:** MNC-I C-7
- Coordination occurs electronically

### ➤ **JOINT CIVIL-MILITARY ENGINEERING BOARD (JCMEB) (MNC-I FRAGO 025)**

- **PURPOSE:** Validates CERP requirements greater than \$500,000 and recommends approval/disapproval of requirements to the MNC-I Chief of Staff. Additionally, establishes Corps priorities for the use of CERP Funds.
- **VOTING MEMBERS:** Representatives from C7, C9, and SJA
- **CHAIR:** MNC-I C-7

### ➤ **C6 VALIDATION BOARD (C6VB) (MNC-I FRAGO 062)**

- **PURPOSE:** Reviews communications and information technology projects, purchases, services, and contracts using OMA funding and recommends approval or disapproval of the requirements to the MNC-I Chief of Staff.
- **VOTING MEMBERS:** Representatives from C6 and SJA
- **CHAIR:** MNC-I C-6



## **MANAGEMENT CONTROL PROGRAM (MCP)**

A robust MCP is a tool for commanders that helps ensure resources are used effectively and in accordance with applicable laws and regulations.

- **PURPOSE:** Ensures proper stewardship of federal resources and verifies compliance with laws and regulations.
- **GENERAL GUIDANCE:** Broadly, the MCP consists of a schedule of key evaluations to reduce risk of fraud, waste, and abuse and to identify material weaknesses.
  - References: AR 11-2, OMB Circular A-123
- **PROCESS/LIMITING FACTORS:**
  - A MCP is required in organizations led by O-6s and above (Assessable Unit).
  - Plan and conduct certain focused reviews that provide reasonable assurance that controls are effective.
  - Annual Statement of Assurance required from each Assessable Unit.
  - Refer to Appendix G for additional information on the MCP.





## **OVERVIEW OF FUNDS**

### **MAJOR COST DRIVERS FOR U.S. FORCES**

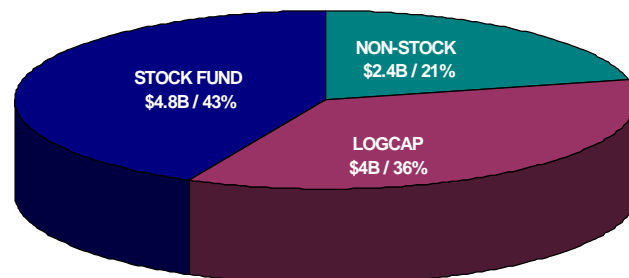
The operating budgets for U.S. forces may be divided into three broad categories—LOGCAP, Stock Fund, and Non-Stock Fund. Because Non-Stock is the most “visible” to commanders and resource managers, many tend to spend the majority of their time managing Non-Stock requirements and the associated funding. In this AOR, LOGCAP and Stock Fund make up fully 78% of costs. Understandably, decision makers at all levels must carefully manage requirements and cost growth in these areas as well.



#### **Major Cost Drivers for U.S. Forces (FY06)**



Non-Stock is what is typically “visible” to commanders. In this AOR roughly 75% of the costs are in LOGCAP and Stock Fund. The message is simple – to maximize our effectiveness, we must manage all three.



What tools exist with which to support the fight? In this AOR, there are likely some funding sources with which you are familiar and perhaps a few that are new. The following funding sources/programs will serve as the most common sources of support for your mission:

- Operation and Maintenance, Army (OMA)
- Commander’s Emergency Response Program (CERP)
- CENTCOM Rewards
- Iraqi Relief and Reconstruction Funds (IRRF)/Iraqi Security Forces Fund (ISFF)
  - Quick Response Funds (QRF)
  - Transition Team Integration Funds (TTIF)
  - Provisional Joint Coordination Center (PJCC)
- Logistics Civilian Augmentation Program (LOGCAP)
- Other Procurement, Army (OPA)
- Military Construction (MILCON)
- Official Representation Funds (ORF)
- Combating Terrorism Readiness Initiative Fund (CbtRIF)
- Overseas Humanitarian Disaster and Civic Aid (OHDACA)



Funding from other agencies/countries also may be useful. The following is a list of some common forms of other agency/country funding.

- Accelerated Reconstruction Development Fund (ARDF)
- Donor Nations
- Coalition Forces Funding
- Economic Security Fund (ESF)
- Community Stabilization Program (CSP)

Now, let's look at each of the major funding sources in more detail.

### **OPERATION AND MAINTENANCE, ARMY (OMA)**

OMA quite simply the life-blood of daily operations. Everything U.S. forces do on the battlefield is either directly or indirectly influenced/supported by OMA.

- **PURPOSE:** Provide resources required to prepare for and conduct combat operations.
- **GENERAL GUIDANCE/USES:** OMA is the cornerstone appropriation for operations, funding everything from office supplies to repair parts to vehicle leases.
- **PROCESS/LIMITING FACTORS:**
  - Generally a 1-year appropriation, meaning funds appropriated for a specific fiscal year (FY) must be obligated in that FY.
  - Can support minor construction up to \$750K and, under limited circumstances involving life, health, and safety, can support minor construction up to \$1.5M.
  - OMA itself is primarily for U.S. Army requirements; Sister Services and most coalition partners have similar funding pools.
  - Requests for purchase over \$200K and all special interest items must be approved by the applicable Joint Board (e.g. JARB/JFUB/C6VB).
  - MSCs provide monthly spend plan to MNC-I C-8 by the 21<sup>st</sup> of each month.
  - Refer to Appendix J for additional information on executing OMA funds.



## **COMMANDER'S EMERGENCY RESPONSE PROGRAM** **(CERP)**

The family of CERP funds (CERP, CHRRP, and IIG) resources high payoff projects/purchases and has proven to be an excellent enabler for winning the “hearts and minds” of the Iraqi people. The primary reference document for the CERP program is the MNC-I CERP Standard Operating Procedures dated 24 April 2006. This document can be found at APPENDIX C.

### ➤ **PURPOSE.**

- In accordance with reference A, the purpose of the CERP program is to enable commanders “to respond to urgent humanitarian relief and reconstruction requirements within their AOR by carrying out programs that will immediately assist the indigenous population.”
- The MNC-I Commander’s intent is to achieve focused effects. Commands should prioritize those CERP projects that focus on providing urgent humanitarian relief while providing significant employment opportunities for the Iraqi people. Close coordination between commanders, engineers, civil affairs, effects coordinators and comptrollers is vital to ensure funds are applied consistently to achieve desired effects. Additionally, CERP funds must be properly accounted for and reported accurately to higher headquarters.

### ➤ **CERP may be used to assist the Iraqi people in the following representative areas (with some examples), in accordance with ref A:**

**Water and sanitation – projects to repair or reconstruct water or sewer infrastructure, including water wells.**

- **Food production and distribution – projects to increase food production or distribution processes.**
- **Agriculture – projects to increase agricultural production or cooperative agricultural programs.**
- **Electricity – projects to repair or reconstruct electrical power or distribution infrastructure, including generators.**
- **Healthcare – projects to repair or reconstruct hospitals or clinics or to provide urgent healthcare services, immunizations, medicine, medical supplies, or equipment.**
- **Education – projects to repair or reconstruct schools, purchase school supplies or equipment.**
- **Telecommunications – projects to repair or reconstruct telecommunications systems or infrastructure.**



- Economic, financial, and management improvements – projects to improve economic or financial security.
- Transportation – projects to repair or reconstruct transportation systems, roads, bridges, or transportation infrastructure.
- Rule of law and governance – projects to repair or reconstruct government buildings such as administration offices, court houses or prisons.
- Irrigation – projects to repair or reconstruct irrigation systems.
- Civic cleanup activities – projects that remove trash, clean-up the community, or perform beautification.
- Civic support vehicles – projects to purchase or lease vehicles to support civic and community activities.
- Repair of civic and cultural facilities – projects to repair or restore civic or cultural buildings or facilities.
- Repair of damage that results from US, coalition, or supporting military operations and is not compensable under the Foreign Claims Act.
- Condolence payments to individual civilians for death, injury, or property damage resulting from US, coalition, or supporting military operations.
- Payments to individuals upon release from detention.
- Protective measures, such as fencing, lights, barrier materials, berming over pipelines, guard towers, temporary civilian contractor guards, etc. to enhance the durability and survivability of a critical infrastructure site (oil pipelines, electric lines, etc).
- Other urgent humanitarian or reconstruction projects – projects to repair collateral battle damage not otherwise payable because of combat exclusions or condolence payments.

➤ **CERP will not be used for the following purposes:**

- Direct or indirect benefit to U.S., coalition, or other supporting personnel.
- Providing goods, services, or funds to national armies, National Guard forces, border security forces, civil defense forces, infrastructure protection forces, highway patrol units, police, special police or intelligence or other security forces.
- Except as authorized by law and separate implementing guidance, weapons buy-back programs, or other purchases of firearms or ammunition.
- Entertainment.
- Reward programs.
- Removal of unexploded ordnance.
- Duplication of services available through municipal governments.
- Salaries, bonuses, or pensions of Iraqi military or civilian government personnel.
- Training, equipping, or operating costs of Iraqi security forces.
- Support to individuals or private businesses (exception: condolence and battle damage payments).



- Conducting psychological operations, information operations, or other US, coalition, or Iraqi Security Force operations.

### ➤ 3. PROGRAM MANAGEMENT.

- The CERP program has three primary components: Reconstruction, Iraqi Economic Initiative (IEI), and Death Benefits/Battle Damage. The overall program coordinator is MNC-I C8. The primary responsibilities are to ensure consistency between functional program managers, identify timelines for program updates, coordinate data calls for the overall CERP requirements, and coordinate with the functional program managers and the Effects Coordination Center in making CERP distribution proposals.
- Reconstruction. The Reconstruction functional program manager is the MNC-I C7. They are primarily responsible for reconstruction reporting, policy, monitoring of reconstruction projects, and overall tracking of reconstruction efforts.
- Death Benefits/Battle Damage. The Death Benefits/Battle Damage functional program manager is the MNC-I C8.
- Iraq Economic Initiative (IEI). The IEI functional program manager is the MNC-I C9. The goal of the IEI is to support critical MNC-I and other US government initiatives that build Iraqi confidence in the transition to a participatory, stable, and democratic Iraq. It draws extensively on the projects and programs established and funded through the MNC-I Commander's Emergency Response Program. The IEI will serve to assess, design and implement programs that are characteristically fast, flexible, innovative, tangible, targeted, and focused on root social issues.





## **REWARDS**

**HUMINT is vital to success in any battlespace. The Rewards program offers incentives for information and can be a remarkably effective tool in preempting enemy operations and denying sanctuary and weapons. *MNC-I C2 is generally the first stop on the MNC-I staff for Rewards Program requirements.***

- **PURPOSE:** Provides rewards (monetary, goods, or services) for information and other non-lethal assistance beneficial to force protection or operations against international terrorism.
- **GENERAL GUIDANCE/USES:** Pays for information leading to the arrest of wanted persons or weapons caches and for information beneficial to an operation or activity of the Armed Forces against international terrorism or aiding in force protection.
- **PROCESS/LIMITING FACTORS:**
  - Consists of Large (>\$2,500), Small (< or = to \$2,500) and Micro (< or = \$100) Rewards.
  - CENTCOM must approve all rewards greater than \$2,500.
  - May not be paid to U.S. military, employees, contractors, or citizens of the U.S., nor to allied and coalition forces.
  - May not be paid to deceased persons unless the person is killed during operations based upon info provided or payments are specifically approved by SECDEF.
  - Appendix A provides detailed guidance.
  - MSCs submit reports monthly to the MNC-I C2.
  - Refer to Appendix A for additional information on the Rewards Program.





## **IRAQI SECURITY FORCES FUNDS (ISFF)**

As we continue to transition to Iraqi self governance, Congress has appropriated IRRF/ISFF to support ongoing reconstruction efforts and support to the Iraqi Security Forces. Within the construct of IRRF/ISFF exist some specific funding programs: Quick Response Funds, Transition Team Implementation Funds, and Provincial Joint Coordination Center Funds.

ISFF is a U.S appropriated funding stream that provides support to all elements of the Iraqi Security Forces, including the Army, police forces, special task forces, and border security. Although MNSTC-I currently retains the responsibility for training and equipping ISF, C4 is generally the first stop on the MNC-I staff for sustainment.

- **PURPOSE:** Funds training, equipping, life support, and sustainment of ISF.
- **GENERAL GUIDANCE/USES:** Broadly, funds may be used for construction, force protection, training, equipment, and sustainment.
- **PROCESS/LIMITING FACTORS:**
  - All life support requirements should be contracted
  - Cannot be used for weapons buy-back, rewards, or salaries
  - All ISF-funded items must remain in theater
  - Refer to Appendix B for additional information on IRRF and ISFF.

## **ISFF – QUICK RESPONSE FUNDS (QRF)**

The QRF program was put in place to enable commanders the flexibility to respond rapidly to fund projects focusing on training and equipping the ISF. *As with ISF, MNSTC-I currently retains the responsibility for QRF. C4 is generally the first stop on the MNC-I staff for QRF related requirements.*

- **PURPOSE:** Designed to meet immediate ISF security needs.
- **GENERAL GUIDANCE/USES:** Broadly, funds may be used for force protection, facilities repair, communications, equipment and other needs of the ISF. MNC-I FRAGO 237 contains details on the QRF program.



Types of projects that may be funded under QRF include:

- Reconstruction/repair of any building used exclusively by security forces
- Office equipment/supplies/furniture/computers for security forces
- Uniforms for security forces
- Any form of transportation used exclusively by security forces
- Any equipment for security forces
- Any training or training equipment used by security forces
- Any infrastructure repair used exclusively by security forces
- Emergency life support for ISF

QRF specifically cannot be used for:

- Humanitarian and reconstruction efforts
- Direct/indirect benefit to U.S. or Coalition Forces
- Entertainment of local population or ISF
- Cash hand-outs of any types
- Commingled with OMA or any other appropriated or non-appropriated funds

### **ISFF – Transition Team Integration Funds (TTIF)**

TTIF is a subset of ISFF and is intended to provide quick and effective means to buy emergent supply/equipment items for ISF units. C-8 is generally the first stop for TTIF funding issues on the MNC-I staff.

- **PURPOSE:** Intended to provide transition teams funding to procure small, one-time items for the ISF. TTIF program is set to expire in September 2006.
- **GENERAL GUIDANCE/USES:** MSCs receive funding monthly based on \$3K per team. See MNC-I OPORD 05-03 FRAGO 315.
- **PROCESS/LIMITING FACTORS:**
  - Each transition team must have a trained/appointed Field Ordering Officer and Paying Agent.
  - Funds will not be used to pay for salaries, weapons, recurring life support requirements, rewards or condolence payments.
  - Requirements over \$2.5K must be contracted



## **ISFF – Provisional Joint Coordination Center (PJCC)**

PJCC funds are a subset of ISFF intended to provide startup funding for supplies and equipment for PJCCs which provide a liaison between national and local levels.

- **PURPOSE:** Recurring annual program for small supplies and equipment in support of the PJCCs. See MNC-I FRAGO 057. US funding for this program will discontinue after DEC 2006.
- **GENERAL GUIDANCE/USES:** See MNSTC-I FRAGO 104.
- **PROCESS/LIMITING FACTORS:**
  - PJCC funds will not be used to pay salaries for the Ministry of Interior (Mol) personnel. All salary issues should be forwarded to the Mol for resolution.
  - Funds will not be used to improve the life style of assigned personnel (no bus fare, daily meals, gas money, personal cell phones, etc.)
  - Funds will not be used to purchase personal protection.
  - MSCs provide monthly expenditures report to C3/C8





## **LOGISTICS CIVIL AUGMENTATION PROGRAM (LOGCAP)**

To increase efficiency and the tooth-to-tail ratio, U.S. forces shifted from completely organic Combat Support/Combat Service Support to a logistics plan predicated upon civilian support. *Guidance for requirements generation can be provided by the MSC LOGCAP Planner and the LOGCAP Support Officer serving the FOB in question. C-4/C-7 are generally the first stop for LOGCAP on the MNC-I staff.*

- **PURPOSE:** LOGCAP was developed in 1985 to assist the Army with logistics, engineering, and construction projects during contingency operations. The current LOGCAP contract used in Iraq provides contracted life support services to U.S. Forward Operating Bases (FOB). Typical services provided by the contractor include dining facilities, MWR operations, laundry service, water works, billeting, vector control, repair services, and power generation/distribution. The current contract was awarded to Kellogg, Brown and Root (KBR) under a cost plus award fee contract with several Task Orders (TO) that cover all of Iraq. The contract utilizes OMA funds because LOGCAP in Iraq is a service contract. Additionally, because OMA is used, the LOGCAP contract is funded incrementally. Thus, LOGCAP requirements are always subject to funds availability. Finally, although LOGCAP is a service contract that uses OMA funds, KBR may purchase certain equipment and perform minor construction when the total cost falls beneath expense and investment thresholds; however, acquisition or construction that exceeds these thresholds will be funded with the appropriate authority and funding source, i.e. OPA, MILCON, CCA, etc.

- **GENERAL GUIDANCE:** Basic LOGCAP service is provided to camps and LOGCAP level of service depends on the number of personnel assigned to the camp. Conditions vary from base to base, and not all LOGCAP services are available at every base.
- **Smaller Camps, which have less than 1,800 personnel may receive the following LOGCAP services:**
  - Mermite/MKT
  - MWR kits (sports, games, etc)
  - Satellite/direct contract laundry
  - Electrical
  - Chemical toilets (porta-john)
  - Potable water delivered to site
  - Tents/pre-existing hard facilities





Larger Camps, with 1,800 personnel or greater, may receive the following LOGCAP services:

- DFACs (4 meals)
- MWR (Gym, internet café)
- On-site laundry
- Major work orders and repairs
- Water works
- Latrine/ablution units
- Billeting
- Waste management
- Vector control
- Power generation/distribution

➤ **PROCESS/LIMITING FACTORS:**

- LOGCAP is centrally funded, which tends to result in contract growth—therefore we must continue to scrub requirements to differentiate between “must have” and “nice to have” services.
- Cost of labor, services, materials, transport and security are on the rise due to high demand relative to supply
- Any new or increased requirements over \$50K must be staffed and approved by JARB
- Requirements under \$50K are processed through MNC-I C8.
- Refer to Appendix D for additional information on LOGCAP.

### **OTHER PROCUREMENT, ARMY (OPA)**

While OMA funds day-to-day operations, OPA is typically used for large pieces of equipment that do not meet the thresholds or purpose of some other major procurement accounts such as Aircraft or Shipbuilding. C-4 or C-6 are generally the first stop on MNC-I staff.

➤ **PURPOSE:** Funds major equipment end-items

➤ **GENERAL GUIDANCE/USES:** Tactical and support vehicles, major communication and electronic equipment, construction equipment costing more than \$250K.

➤ **PROCESS/LIMITING FACTORS:**

- Due to the nature of this appropriation, OPA generally requires more planning lead-time than OMA
- Sometimes an equipment lease using OMA can augment in the short-term
- Requires approved Operational Needs Statement from Dept. of the Army
- If in doubt, consult your judge advocate familiar with appropriation law.
- Refer to Appendix F for additional information on OPA.



## **MILITARY CONSTRUCTION (MILCON)**

MILCON is the avenue to execute infrastructure improvements supporting OIF operations. These requirements can be funded through three different streams, and are normally applied against CENTCOM's annually developed Contingency Construction Priority List (CCPL). MNC-I conducts quarterly project calls to maintain the most current list of MILCON requirements and posture itself to take advantage of all available funds. *The C7 is generally the first stop on the MNC-I staff for MILCON requirements.*

- **PURPOSE:** Fund major construction projects
- **GENERAL GUIDANCE/USES:** 10 U.S.C. § 2801(a) and FAR 36.102
- **PROCESS/LIMITING FACTORS:**
  - Projects must be validated by the JFUB prior to funding.
  - Projects costing less than \$750,000 are funded with OMA.
  - Projects costing more than \$750,000, but less than \$1.5 million, are funded with Unspecified Minor Military Construction (UNMC) funds.
  - Projects costing more than \$1.5 million are funded with MILCON funds.
  - Refer to Appendix E for additional information on MILCON and maintenance and repair.

## **OFFICIAL REPRESENTATION FUNDS (ORF)**

Although ORF is an extremely small funding line, it receives scrutiny at the highest levels in DoD. Used correctly, it is very helpful in building relationships in Iraq. *The Secretary of the Joint Staff (SJS) is first stop on the MNC-I staff.*

- **PURPOSE:** To uphold the standing and prestige of the U.S. by extending official courtesies to certain officials and dignitaries of the U.S. and foreign countries
- **GENERAL GUIDANCE/USES:** Typical uses include official receptions, dinners, and modest entertainment
- **PROCESS/LIMITING FACTORS:**
  - Generally issued/controlled by the ranking general officer in the Iraq.
  - ORF funds must be approved prior to event.
  - For more information, please refer to: DoDD 7250.13; AR 37-47; MNF Policy 04-21; or MNF-I CoS policy letter, subject "Proper Execution of Official Representation Funds (ORF)" and Appendix J



**HEADQUARTERS**  
MULTI-NATIONAL CORPS - IRAQ  
BAGHDAD, IRAQ  
APO AE 09342

MNC-I CENTCOM Rewards SOP

1 November 2006

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1. (U//FOUO) PURPOSE.

a. The MNC-I CENTCOM Rewards Program is used to pay rewards for information or non-lethal assistance that leads to the capture of wanted individuals or wanted weapons.

b. Reward sources provide information or non-lethal assistance that is beneficial to:

(1) An operation or activity of the armed forces conducted outside the United States against international terrorism, or

(2) Aids in force protection of US and/or coalition forces.

2. (U//FOUO) REFERENCES.

a. (U) 10 U.S.C. §127b, Assistance in Combating Terrorism: Rewards.

b. (U) "Implementation of the DoD Rewards Program" (Feith Memorandum), Douglas Feith, Undersecretary of Defense for Policy, 6 March 2003.

c. (U) "Waiver to Implementation Guidance for the DoD Rewards Program" Ryan Henry, Principal Deputy Under Secretary of Defense for Policy, 11 January 2005.

d. (U) CJCS MSG, Implementation of DOD Rewards Program, 241944ZMAY02; Implementation of the DOD Rewards Program.

e. (U) CJCS MSG, Revised Implementation of the DOD Rewards Program, 231450ZAPR03.

f. (S) CENTCOM MSG 030555ZJUL03, CFC Rewards Program in USCENTCOM AOR.

g. (U) CENTCOM MSG 241905ZOCT04, Designation of MNF-I OIF Rewards Authorization and Disbursement Officers.

h. (S) CENTCOM MSG 280921ZJAN05, Designation of MNF-I Rewards Authorization and Disbursement Officers.

i. (U) MNF-I FRAGO 459 [GUIDANCE FOR MNF-I REWARDS PROGRAM] 201445CNOV04.

j. (U) MOD 1 to MNF-I FRAGO 459, [Link Name to Source Number in MNF-I Rewards Program], 212240CDEC04.

k. (S) MNF-I FRAGO 574, [Acceleration of MNF-I Rewards Program Process], 312145CDEC04.

l. (S) MNF-I FRAGO 638, [Expansion and Clarification of the MNF-I Rewards Program], 270340CJAN04.

m. (U) MNC-I FRAGO 326 to MNC-I OPORD 05-01, Task 3, [MNC-I Guidance for OIF Rewards Program] 062355CMAR05.

### 3. (U//FOUO) POINTS OF EMPHASIS.

a. This SOP outlines the responsibilities and procedures for duty positions, reward approval, payment request, payment, and reporting of rewards.

b. Units may take steps to expedite the rewards nomination, approval, and payment processes, but the following guidelines must be followed regardless of the procedures used:

(1) All rewards must be approved at the appropriate level.

(2) Units must maintain specific information for each reward payment; outlined in paragraph 5.f.

(3) Units must meet reporting requirements through their Major Subordinate Command (MSC) to MNC-I as outlined in section 5.f.

c. All reasonable efforts must be made to protect reward recipient's confidentiality.

d. Funds will not be used for source operations. Source operations are defined as operations using local nationals who establish an ongoing relationship and provide information to a U.S. Tactical HUMINT Team (THT). Should the source indicate the possibility of developing a relationship with the unit, the unit must refer that individual to the nearest THT for development. company/battery/troop commanders must ensure they do not develop a working relationship with local nationals through the micro rewards program. For more information regarding source operations and THTs, refer to <http://22.13.142.4/CMnD/HUMINT/HUMINT/Passive HUMINT Collection TTP.doc>.

e. The MNC-I CENTCOM Rewards Program is the only rewards program authorized for use by MNC-I and its subordinate units. It should not be confused with rewards programs offered by other government agencies, such as the Department of State Rewards for Justice Program, or the now terminated rewards authorization under CERP.

f. The MNC-I CENTCOM Rewards Program is not a weapons buyback program, but it does allow payment for information leading to the capture of wanted weapons. MNC-I does not currently fund any weapons buyback programs.

g. Only funds from the MNC-I CENTCOM Rewards Program may be used to exclusively advertise the program. The OIF Rewards Program may also be referenced in other Information Operations (IO) products funded with Operations and Maintenance (O&M) funds. Units will fully advertise the rewards program using all means within their capability. Any mention of the OIF rewards program must clearly differentiate it from other rewards programs. Local products must always include the National Tips Line telephone numbers (778-4076 [in Baghdad] / 1-778-4076 [outside Baghdad] / 964-1-778-4076 [outside of Iraq]), but they may also include local numbers.

h. Rewards may be paid in cash or in the form of in-kind benefits. In-kind benefits include food, local amenities, necessities, or communal rewards. The value of in-kind benefits must be equal to or less than the value for the reward paid in cash. Payments of in-kind benefits cannot exceed \$2,500. MNC-I units must obtain SJA guidance prior to offering any in-kind benefits.

i. Rewards may not be paid to U.S. military members, employees, contractors, citizens of the United States, or allied or coalition forces. Rewards can only be paid to non-coalition parties.

j. Rewards will not be paid for information that leads to a person whom is found deceased, unless the person is killed during operations based upon information provided, or request is specifically approved by the SECDEF.

k. Rewards will not be given for information gathered by methods contrary to DoD policy, e.g., extortion. Sources (informant) will not be paid for individuals who received inhumane treatment during capture.

l. All those eligible for rewards above \$2,500 must be advised that the payment process may take several weeks due to administrative requirements.

m. CENTCOM has pre-approved advertising of rewards up to \$10,000 for information leading to the capture of any individual in the production and/or utilization of improvised explosive devices (IEDS) including vehicle-borne IEDS (VBIEDS). This approval expires 31 December 2006. These reward requests are processed in the same manner as all other rewards.

#### 4. (U//FOUO) MONEY AS A WEAPON SYSTEM.

a. The OIF Rewards program provides Commanders with a non-lethal weapon system in the form of cash for information. There are three types of rewards under the MNC-I Rewards program:

(1) Micro-Rewards - less than or equal to \$100 for information that leads to capture.

(2) Small Rewards - \$100.01 up to \$2,500.

(3) Large Rewards - greater than \$2,500.

b. Micro-rewards provide company/battery/troop commanders with up to \$500 per month. Commanders have the flexibility of immediately paying rewards as soon as information is verified. Payments may be made in any amount up to \$100 per incident. Payments are based on pre-approved reward criteria developed by their Reward Approval Officer. The \$500 threshold is a monthly maximum payout level and not a predetermined funding level.

c. Small rewards payouts of up to \$2,500 are for High Value Individuals or weapons caches for what the BCT CDR deems appropriate. The BCT CDR must follow the guidelines below when establishing the value of the reward.

(1) The relative importance of the person or cache of weapons captured

(2) The number of intermediate steps required by US forces between receiving the information and making the capture.

(3) The number of personnel captured as a result of the information or assistance.

(4) If weapons seized, consider the size of the cache.

d. Large rewards payouts of over \$2,500 are for capture of High Value Individual (i.e. terror cell leaders, terrorist financiers and smugglers) and large weapon caches that significantly reduce the effectiveness of a terror cell.

5. (U//FOUO) RESPONSIBILITIES AND PROCEDURES.

a. DUTY POSITIONS AND RESPONSIBILITIES.

(1) BCT/BDE Level.

(a) Rewards Approval Officer (RAO) – An officer authorized by CENTCOM to approve rewards up to \$2,500. Currently, CENTCOM has authorized all BCT/BDE/regiment level commanders and MNC-I separate BCT/BDE commanders as RAOs. For the micro-rewards program, the RAO must develop pre-determined micro-reward payment criteria authorizing company commanders to pay rewards of up to \$100 for each piece of information that may lead to the capture of wanted individuals or weapons. Use of the provided criteria should allow immediate payment of most rewards under \$100 after the information has been verified. RAO is also responsible for endorsing large reward payment requests to CENTCOM or OSD.

(b) Rewards POC – An individual responsible for receiving reward payment approval requests. The reward POC also prepares Purchase Request and Commitment (DA form 3953) to pay rewards, coordinates bulk fund issue under the micro-rewards program, and is responsible for signing out Purchase Order-Invoice-Vouchers (SF44) to company/battery/troop commanders for micro-rewards cash issue. The Rewards POC and the Rewards Paying Agent cannot be the same person.

(c) Rewards Paying Agent – An individual who issues cash to company/battery/troop commanders under the micro-rewards program. The rewards paying agent may also pay approved large reward payments. The Rewards POC and the Rewards Paying Agent cannot be the same person.

(d) Unit Paying Agent – A service member trained by finance to carry rewards funds and transfer them to the payee. The unit paying agent should keep sufficient funds on hand to facilitate same day or next day small rewards payments.

(2) MSC Level.

(a) MSC Commander- MSC Commanders endorse and approve all large reward payments prior to submission to through MNF-I to CENTCOM or OSD. At the

discretion of the CDR, Military Transition Teams (MITTs) and Police Transitional Teams (PTTs) can pay out rewards within the Micro-Rewards guidelines.

(b) Rewards POC – The rewards POC is responsible for receiving large reward payment approval request from subordinate units and submitting them to the MSC Commander. The rewards POC processes approved large reward payment requests back to subordinate units and submits RAO Authorization Request Memorandum through MNC-I to CENTCOM for approval.

(3) Separate Battalion/Company

(a) Rewards Approval Officer (RAO) – MNC-I RAO is the approval authority for small rewards and endorses large rewards.

(b) Rewards POC – An individual responsible for receiving reward payment approval requests. The reward POC also prepares Purchase Request and Contracts (DA form 3953) to pay rewards, coordinates bulk fund issue under the micro-rewards program, and is responsible for signing out Purchase Order-Invoice-Vouchers (SF44) to company/battery/troop commanders for micro-rewards cash issue.

(c) Rewards Paying Agent – An individual who issues cash to company/battery/troop commanders under the micro-rewards program. The rewards paying agent may also pay approved large reward payments.

(d) Unit Paying Agent – A service member trained by finance to carry rewards funds and transfer them to the payee. The unit paying agent should keep sufficient funds on hand to facilitate same day or next day small rewards payments.

(4) MNC-I Level.

(a) MNC-I Commander – MNC-I Commander endorses and approves all large reward payments requested prior to submission through MNF-I to CENTCOM or OSD.

(b) Rewards Approval Officer (RAO) – Defined in 5.1.A, the MNC-I RAO is within MNC-I CJ2, he reviews and approves requests for less than or equal to \$2,500 for any MNC-I separate battalions and units without an approved RAO by CENTCOM. The RAO is also responsible for endorsing all MNC-I Large Reward (Nomination packets) request memos to the appropriate authority. After the HVI is found the RAO reviews and endorses all reward payment request to be forwarded to the appropriate approving authority for rewards greater than \$2,500.

(c) Rewards POC – The Rewards POC manages the rewards program for MNC-I, processes all large reward payment requests, and prepares the DA3953 to payout small rewards for non-BCT/BDE units and all large rewards for MNC-I. The

rewards POC also coordinates bulk fund issue under the micro-rewards program for non-BCT/BDE units. They are responsible for SF44s to company/battery/troop commanders in non-BCT/BDE units for micro-reward cash issue.

(d) Rewards Paying Agent – The rewards paying agent works with the MNC-I rewards POC to issue cash to company/battery/troop commanders in MNC-I non-BCT/BDE units.

(e) Unit Paying Agent – Additional paying agents located in the MNC-I separate BCT/BDEs in order to payout small and large rewards.

(f) SJA Advisor – MNC-I SJA prepares a legal review (an example legal review memorandum is included in TAB A) for each reward target packet processed through the MNC-I rewards POC.

(g) MNC-I C8 (Comptroller Office) – Certifies funds for Corp separate requests and all large rewards. Issues funding via resources distribution documents (RDDs) to all MSCs and CJSOTF. Tracks execution of rewards funding throughout MNC-I. Pays all large rewards from a centralized fund. Reports status of funds to CENTCOM when requested and notifies CENTCOM of any shortages of funds.

#### b. PAYMENT REQUEST AND APPROVAL PROCEDURES.

(1) Any service member may submit a reward request for payment to a source for information that leads to the capture of wanted weapons or individuals. All requests must be processed through the chain of command.

(2) Micro-rewards less than or equal to \$100 – Company level units/MITTs/PTTs request cash from BCT/BDE rewards POC. No more than \$500 may be drawn for these payments per company level unit per month.

(3) Pre-approved Micro Reward Criteria – BCT/BDE/Regiment Commanders, to include Coalition Forces, must develop pre-determined micro-rewards payout criteria in writing authorizing company commanders to pay rewards of up to \$100 per incident. Use of the provided criteria should allow units make on the spot payments – after information is verified – up to \$100. The criteria must be in the form of specific scenarios and the dollar value for each scenario. Scenarios must be in compliance with the intent of the Micro-Rewards Program. Pre-approved payment amounts should be the minimum market value required in the area of operations in order to efficiently use the limited funds available.

(4) Small rewards less than or equal to \$2,500 – Units will prepare payment approval request packets for qualifying information and/or non-lethal assistance and forward these packets to the RAO. Receipt of a reward approval packet is not required prior to authorization by the RAO. The request and authorization can be made verbally,

but the packet must be assembled and endorsed by the RAO. An example small reward request memorandum is included in TAB B. An example small reward approval memorandum is included in TAB C.

(5) Large rewards greater than \$2,500 – Unit submits payment request approval packets through the chain of command to the MNC-I Rewards POC. Payment request approval packets must include:

(a) Request for reward payment memorandum endorsed by the MSC Commander. An example reward nomination memorandum is included in TAB D.

(b) Justification for payment of the reward.

(c) Photographs if possible.

(d) The Unit POC.

(e) Any other relevant background information.

(f) Legal review.

(6) Units must continue to meet reporting requirements even if they follow procedures to expedite the payment process such as verbal requests and approvals. All reporting data must be maintained regardless of the procedures followed to make rewards payments. Unit reporting requirements are outlined in paragraph 5.f.

c. PAYMENT PROCEDURES; MICRO-REWARDS PAYMENTS ≤ \$100.

(1) Forms and equipment required:

(a) DA3953 – Purchase Request and Commitment.

(b) SF44 – Purchase Order – Invoice – Voucher (receipt).

(c) SF44 – Purchase Order – Invoice – Voucher (receipt).

(d) Paying Agent Appointment Letter

(e) DD Form 577 Signature Cards

(f) Safe or strongbox for Rewards Paying Agent.

(2) Bulk Fund Withdrawal (cash withdrawn under the micro-rewards payment method are considered a bulk fund withdrawal).

(a) The MNC-I/MSC Comptroller's Office receives a DA3953 from their respective Rewards POC. The DA3953 must be signed by the rewards POC and RAO.

(b) If the MSC needs to decentralize to the BCT/BDE level, the name of the BCT/BDE level Rewards Paying Agent must be on the DA3953 in order to receive bulk funds.

(c) The Comptroller's Office certifies fund availability, signs DA3953 and contacts the rewards paying agent or BCT/BDE rewards paying agent that the DA3953 is ready for Finance.

(d) The Rewards Paying Agent takes the DA3953, appointment letter, and DD Form 577 signature card to the finance office and draws cash. The Rewards Paying Agent will receive a Statement of Agent Officer's Accountability, DD1081, from finance.

\*Finance Office will maintain a copy of DD Form 577 and Appointment Order on file for each PA and each subsequent draw.

(e) Paying agent maintains copy of DA3953 and DD1081.

(3) Cash Accountability.

(a) When the cash is issued to company/battery/troop commanders, only the Rewards POC can prepare the SF44 to be signed by the company/battery/troop commander and the Rewards Paying Agent. The Rewards POC will ensure that the company/battery/troop commander has a signed copy of the BCT/BDE/regimental commanders' pre-approved micro-reward criteria.

(b) The Rewards Paying Agent issues cash to the company/battery/troop commander (not to exceed \$500 per month).

(d) If the bulk fund withdrawal was decentralized to the BCT/BDE, then only the BCT/BDE Rewards POC can prepare the SF44 to be signed by the company/battery/troop commander and the BCT/BDE Rewards Paying Agent. The BCT/BDE Rewards Paying Agent issues cash to the company/battery/troop commander.

(e) The company/battery/troop commanders will maintain cash accountability by maintaining payout reports. (Reporting procedures found under paragraph 5f).

(4) Closing out with Finance, Rewards POC and Comptroller.

(a) SF44s are made up of five copies:

- Original copy is for paying agent to turn into Finance.

- Seller's copy goes to Comptroller Office.
- Receiving report copy goes to Finance.
- Memorandum copy is for Rewards Paying Agent records.
- Make an additional copy for Rewards POC.

(b) The Rewards Paying Agent takes the DA3953, SF44, DD1081 and any cash left over (if applicable) and turns them in to the finance office every ninety days or if applicable at the end of the Fiscal Year (30 September).

(c) The Rewards Paying Agent provides the SF44 copy to the Rewards POC. The Rewards Paying Agent provides the Comptroller's Office with a copy of the SF44 and DD1081 showing clearance of the Finance Office.

(d) The Rewards POC will maintain a file of micro-rewards payments in accordance with paragraph 5f.

(e) The MSC Comptrollers Office must provide a copy via email or in person of all final turn-in DD1081s to the MNC-I Comptroller's Office.

d. PAYMENT PROCEDURES; SMALL REWARD PAYMENTS  $\leq$  \$2,500.

(1) Forms and equipment required:

- (a) Paying Agent Appointment Letter
- (b) DA3953 – Purchase Request and Commitment (PR&C)
- (c) SF44 – Purchase Order – Invoice – Voucher (receipt)
- (d) DD Form 577 Signature Card

(2) Cash Withdrawal.

(a) The Comptroller's Office receives a DA3953 from its respective Rewards POC. The DA3953 must be signed by the Rewards POC and the appropriate RAO.

(b) The unit paying agent takes the DA3953, appointment letter and DD 577 signature card to the Finance Office, draws cash and receives a DD1081.

(c) Unit paying agent maintains a copy of the DA3953 and DD1081.

(3) Cash Accountability and Payments and appointment letter.

(a) The Unit Rewards POC prepares an SF44 for signature by Unit Paying Agent and payee.

(b) The unit paying agent pays source.

(4) Closing with Finance, Unit rewards POC, and Comptroller.

(a) An SF44 form is made of one original and three copies. The Rewards Paying Agent will make one copy and distribute SF44 to:

- Original copy is for paying agent to turn into Finance.
- II. Seller's copy goes to Comptroller Office.
- Receiving Report copy goes to Finance.
- Memorandum copy is for the paying agent for their records.

(b) Unit Paying Agent takes the DA3953, SF44, DD1081 and any cash left over (if applicable) and turns them in to the finance office.

(c) The Unit Paying Agent provides the Rewards POC with copy of the SF44. The Unit Paying Agent provides the Comptroller's Office with a copy of the SF44 and DD1081 showing clearance of the Finance Office.

(d) The Rewards POC will maintain a file of micro-rewards payments in accordance with paragraph 5d(1)(e).

(e) The MSC Comptrollers Office must provide a copy via email or in person of all final turn-in DD1081s to the MNC-I Comptroller's Office.

e. PAYMENT PROCEDURES; LARGE REWARD PAYMENTS > \$2500.

(1) Forms and equipment required:

(a) Paying Agent Appointment Letter.

(b) DD 577 Signature Card

(c) DA3953 – Purchase Request and Commitment.

(d) SF1034 – Public Voucher for Purchases and Services Other than Personal.

.

(2) Cash Withdrawal.

(a) All large rewards will be paid from MNC-I rewards funds, not from funds held by MSCs or BCT/BDEs. After CG CENTCOM approves a payout, the

respective MSC Comptroller's Office will receive a DA3953 and SF1034 from the MNC-I Comptroller's Office.

(b) The MSC Comptroller's Office notifies the Unit Paying Agent that the DA3953 and SF1034 are ready for Finance.

(c) The Unit paying agent takes the DA3953, SF1034, appointment letter and DD Form 577 signature card to the Finance Office.

(d) The unit paying agent receives cash and the DD1081

(3) Cash Accountability. The unit paying agent is responsible for ensuring that the SF1034 is signed by the source upon payment.

(4) Closing with Finance and Comptroller.

a. The unit paying agent must turn in the DA3953, SF1034 and DD1081 to the Finance Office.

b. The unit paying agent must provide a copy of the SF1034 and DD1081 to the Comptroller Office.

c. The MSC Comptroller must submit a copy of the SF1034 and DD1081 to the MNC-I Comptroller.

f. REPORTING PROCEDURES; MSC

(1) The company/battery/troop commanders must submit a signed spreadsheet detailing all micro-rewards payments to the BCT/BDE/regimental commander. The signed spreadsheet must provide all the information required under paragraph 5.f(1)(e) below (see TAB E).

(2) The BCT/BDE/Regiment commanders will approve the company/battery/troop unit commanders' spreadsheet approving all micro-rewards payments Monthly. The record of approval will become part of the rewards records maintained in accordance with paragraph 5.d(1)(f).

(3) The Unit Rewards POCs must submit their reward reports to the MSC rewards POC in a timely manner IOT allow the MSCs to turn in their monthly field reports to MNC-I on the 1<sup>st</sup> of each month.

(4) All MSCs will provide the MNC-I Rewards POC with an electronic list of the personnel designated as RAOs and rewards POCs. The list must include contact information such as e-mail addresses and phone numbers.

(5) Reports will follow the MNC-I reporting format (An example reporting format is included in TAB E) and will include the following information:

- (a) Unit requesting reward.
- (b) Unit tracking number.
- (c) Date source provided information.
- (d) Date information was used to capture personnel or weapons.
- (e) Date source was paid.
- (f) Amount of reward paid.
- (g) Form of payment (cash, payment in-kind).
- (h) Detailed description of information/assistance.
- (i) Classification and Source number ((U) tracking #) of reward recipient.

Units should not forward name of source for confidential reasons. Units must be able to provide name of source upon request.

(j) Assessment of the significance of information or assistance  
(Guidelines for this assessment are included in TAB F).

- (k) Projection of anticipated expenses during the next quarter.
- (l) Justification for rewards taking longer than 48 hours to pay.

(6) All Rewards POCs will maintain a file with an individual case number for each reward authorized. Files will be maintained for one year and will include the following:

- (a) Name of the person authorized to receive award.
- (b) Name of person or weapon whose capture was aided by the information provided by reward recipient.
- (c) Date of capture.
- (d) Brief summary of information or assistance provided by the recipient with an assessment of the significance and benefit of the information or assistance.

(e) Amount of reward authorized and whether the reward was provided as a monetary payment or in some other form. If the reward is greater than \$2,500, provide the reference that directed payment.

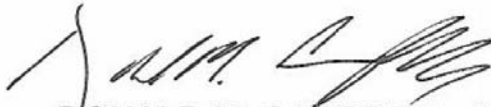
(f) RAO Approval Memorandum (for Small and Large rewards).

(g) Micro-Rewards Approval Memorandum. A memorandum provided by BCT/BDE/regiment commander that approves the company commanders' weekly log. The company commanders' weekly log must provide information as per paragraph 5.f(TAB D).

g. MNC-I.

(1) The MNC-I Rewards POC submits a summary of all rewards paid by MNC-I to the MNF-I Rewards POC no later than the first Saturday of each month.

(2) The MNC-I Comptroller Rewards Resources Manager submits a status of funds report to the CENTCOM Resource Management on the 1<sup>st</sup> of each month.



DONALD M. CAMPBELL, JR.  
BG, U.S. ARMY  
Chief of Staff

A-Legal Review Memorandum  
B-Reward Request Memorandum  
C-Reward Approval Memorandum  
D-Large Reward Nomination Memorandum  
E-MNC-I Reporting Format  
F-Guidelines for Assessment

## **APPENDIX B**

### **IRAQI SECURITY FORCES FUNDS (ISFF)**

As we continue to transition to Iraqi self governance, Congress has appropriated ISFF to support reconstruction efforts and to train, equip, and maintain the Iraqi Security Forces (ISF). MNC-I maintains and exercises authority of limited ISFF. Within the construct of ISFF are three specific funding pools, Quick Response Funds (QRF), Transition Teams Implementation Funds (TTIF), and Provisional Joint Coordination Center Funds (PJCC).

### **ISFF – QUICK RESPONSE FUNDS (QRF)**

- **DESCRIPTION:** QRF is a broad U.S. appropriated funding stream that provides emergency support for the Iraqi Security Forces. Emergency life support requests for Ministry of Interior (MOI) units will be forwarded directly to Multi National Strategic Transition Command - Iraq (MNSTC-I). Although MNSTC-I currently retains the responsibility for training and equipping ISF, MNC-I C4 ISF is the first stop on the MNC-I staff for sustainment.

Types of projects that may be funded include:

- Reconstruction/repair of any building used exclusively by security forces
- Office equipment/supplies/furniture/computers for security forces
- Uniforms for security forces
- Any form of transportation used exclusively by security forces
- Any equipment for security forces
- Any training or training equipment used by security forces
- Any infrastructure repair used exclusively by security forces
- Emergency life support for ISF

QRF specifically cannot be used for:

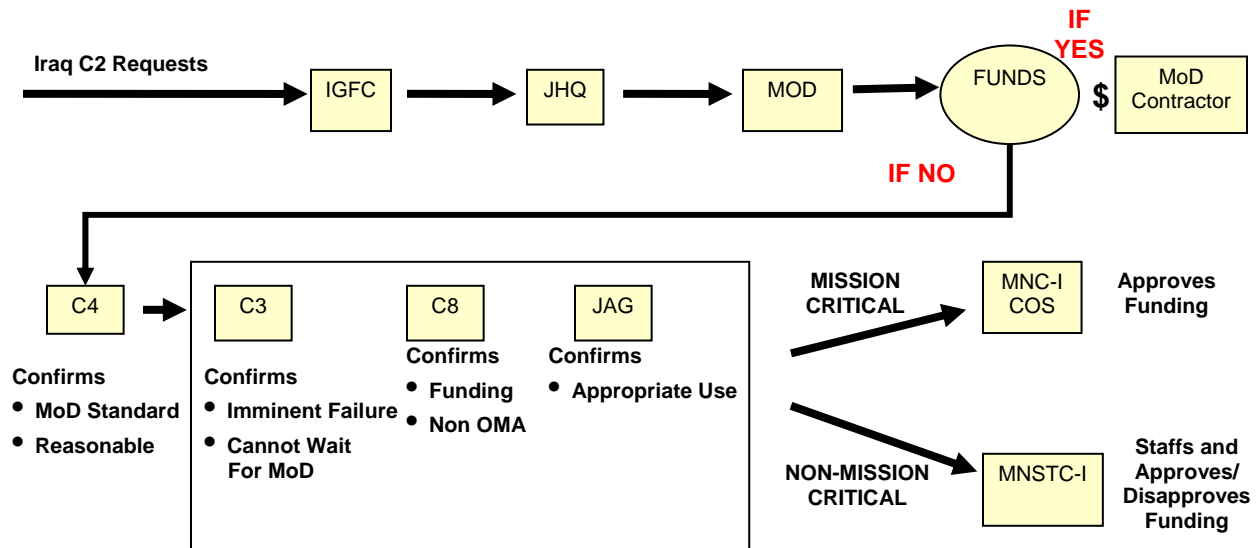
- Humanitarian and reconstruction efforts
- Direct/indirect benefit to U.S. or Coalition Forces
- Entertainment of local population or ISF
- Cash hand outs of any type
- In conjunction with or commingled with OMA or any other appropriated or non-appropriated funds.

- **REFERENCES:**

- MNC-I FRAGO 237, 22 Aug 05, Funding Responsibility for the Iraqi Security Forces
- MNC-I FRAGO 247, 27 Aug 05, Procedure for Requesting Non-MTOE Equipment, Services and Life Support Funding for ISF

- MNF- I FRAGO 351 MOD 1, Aug 05, Funding Responsibilities for the Iraqi Security Forces

➤ **WORKFLOW:**

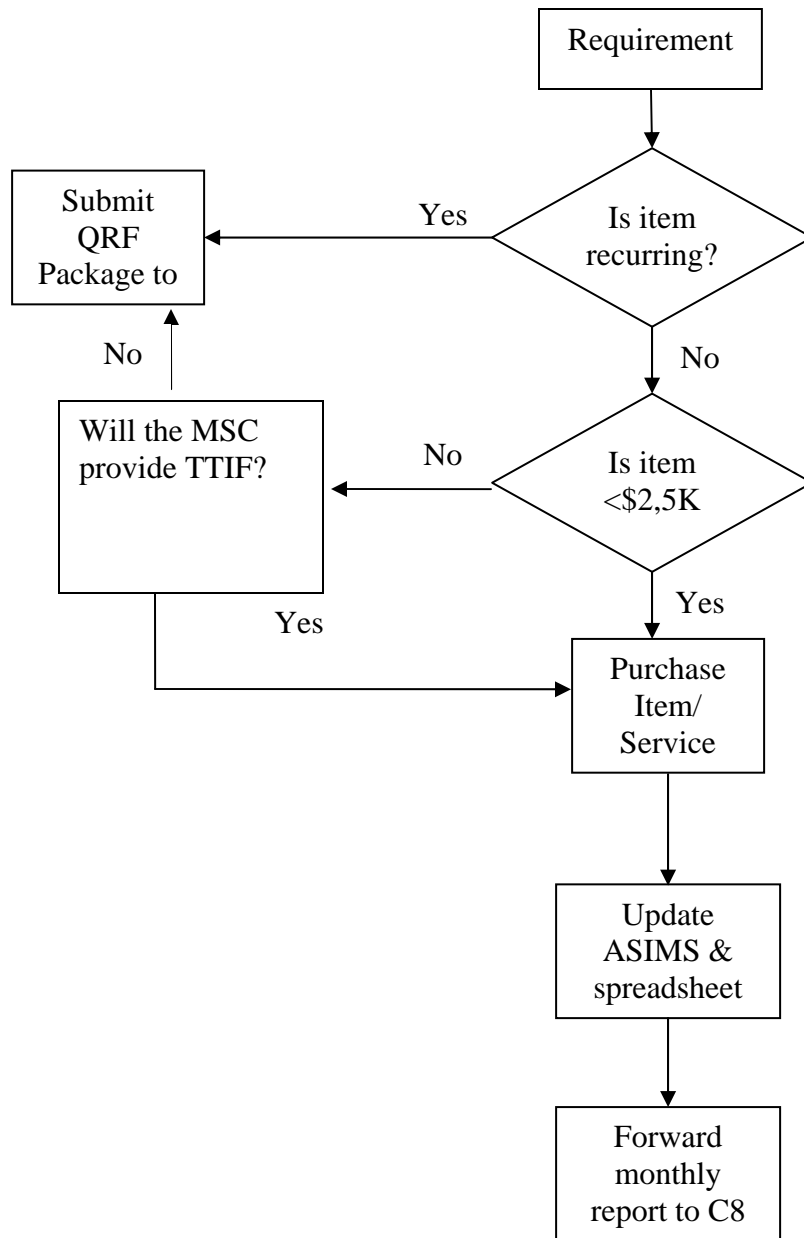


## **ISFF – TRANSITION TEAM IMPLEMENTATION FUNDS (TTIF)**

- **DESCRIPTION:** The primary purpose of TTIF is to provide transition teams limited ISFF to pay for small, typically one time, needs of ISF units. Funds will only be used to support the ISF units in each MSCs battlespace. TTIF is not to be used to provide long term life support, equipping, sustainment or salaries. MNC-I will distribute funds on a quarterly basis. Each MSC will receive \$3,000 per team per month. Each MSC is will decide how these fund will be further distributed. Funds will be provided through Sep 07.
- The MSC Chief of Staff can approve any TTIF request up to \$200,000. This can not be further delegated. Requests that are over \$200,000 must be approved by the MNC-I Chief of Staff. These requests will be submitted to the MNC-I C4 ISF. Annotate on the request that you want to use TTIF.
- **REFERENCES:**
  - MNC-I OPORD 05-03 FRAGO 296 Task 6, 4 Aug 06, Transition Team Integration Funds (TTIF). Procedures

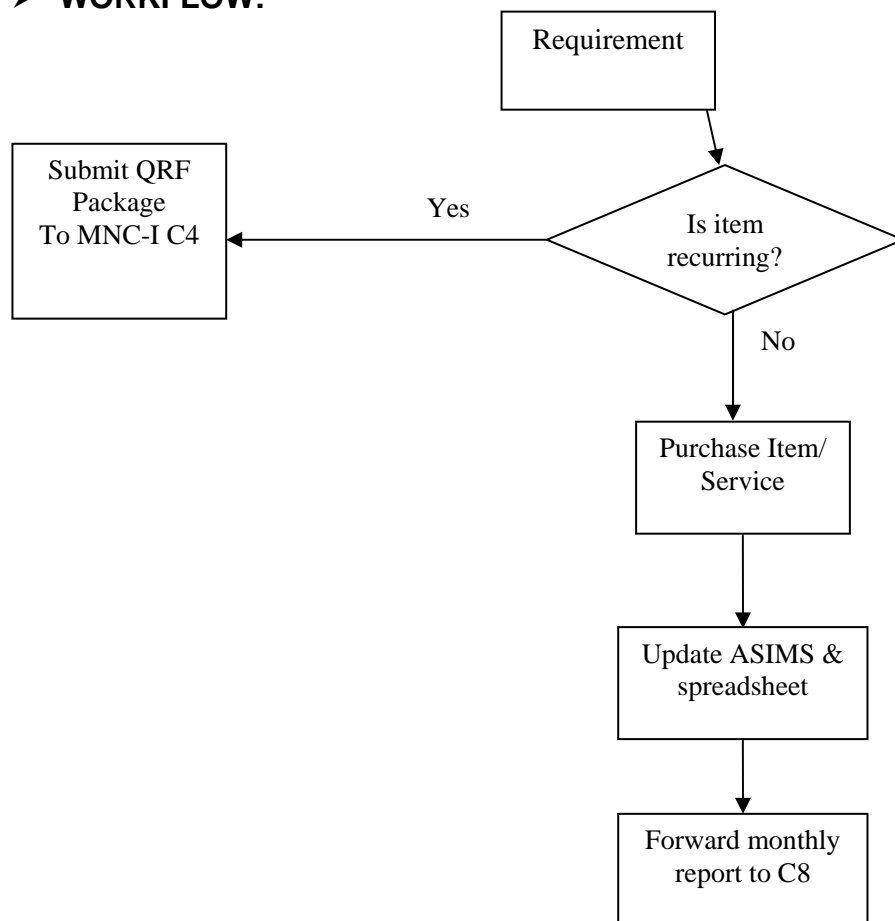
- MNF-I FRAGO 05-096, 07 May 05, Funding Responsibility for Transition and Training Teams and the Iraqi Advisor Group Provincial

➤ **WORKFLOW:**



## **ISFF – PROVISIONAL JOINT COORDINATION CENTER** **(PJCC)**

- **DESCRIPTION:** PJCC is a joint effort between the Mol and U.S. forces to provide guidance and direction of security force efforts at the provincial level and to coordinate efforts at the local and national level. Mol agreed to pay employee salaries; however, they failed to budget O&M for the center's operations. MNC-I C8 provides ISFF for each authorized PJCC. Funds are provided to the MSCs in which the PJCCs are located. Each PJCC receives \$5K per month for O&M subject to reallocation by MNC-I C-8. These funds cannot be used for salaries or weapons purchase. Funding is provided on a quarterly basis. Funding is scheduled to end on 31 December 2006, at which time the Mol is expected to execute their CY07 budget, which should include O&M for the PJCCs.
- **REFERENCES:**
  - MNC-I FRAGO 057, Task 6, 10 Dec 05, Provision of PJCC Monthly Budgets for CY06
- **WORKFLOW:**



**COMMANDER'S EMERGENCY RESPONSE PROGRAM (CERP) FAMILY OF  
FUNDS  
STANDARD OPERATING PROCEDURES**

**1 November 2006**

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7. APPENDIX 2 – SPECIAL SITUATIONS
8. APPENDIX 3 – REPORTING

1. **REFERENCES.**

- a. Under Secretary of Defense (Comptroller) (USD(C)) memorandum, subject: "Commander's Emergency Response Program (CERP) Guidance," dated 27 July 2005.
- b. DOD 5500.7-R, Joint Ethics Regulation.
- c. Department of Defense Financial Management Regulation Volume 12, Chapter 27, September 2005, Commander's Emergency Response Program (CERP).
- d. Department of Defense Financial Management Regulation Volume 5 Chapter 2, "Disbursing Officer, Officers and Agents;" Chapter 3, "Keeping and Safeguarding Public Funds;" Chapter 9, "Supporting Documents to Payment Vouchers;" Chapter 11, "Disbursements;" and Chapter 33, "Accountable Officials and Certifying Officers."
- e. MNF-I FRAGO 060 [DFI Closeout Procedures], 21 June 2004.
- f. MNF-I FRAGO 05-374 [FY06 Commander's Emergency Response Program], 29 November 2005.
- g. MNF-I FRAGO 549 [Execution of IIG Funded Reconstruction Projects], 23 December 2004.
- h. MNF-I FRAGO 603 [Accountability of Funds from the Iraqi Interim Government], 11 January 2005.
- i. MNC-I, Acquisition Instructions for Ordering Officers, April 2006.
- j. Disbursing Standing Operating Procedures (SOP) #2, 8 March 2006.
- k. Under Secretary of Defense Comptroller (USD(C)) memorandum, Appendix I "Allocation and Disbursement for Iraq (DFI)," subject: "Appendices for Procedures Applicable to Vested and Seized Iraqi Property," dated 31 July 2003.

## 2. PURPOSE.

- a. In accordance with reference A, the purpose of the CERP program is to enable commanders “to respond to **urgent** humanitarian relief and reconstruction requirements within their AOR by carrying out programs that will **immediately assist** the indigenous population.”
- b. The MNC-I Commander’s intent is to achieve focused effects. Commands should prioritize those CERP projects that focus on providing urgent humanitarian relief while providing significant employment opportunities for the Iraqi people. Close coordination between commanders, engineers, civil affairs, effects coordinators and comptrollers is vital to ensure funds are applied consistently to achieve desired effects. Additionally, CERP funds must be properly accounted for and reported accurately to higher headquarters.
- c. CERP **may be used** to assist the Iraqi people in the following representative areas (with some examples), in accordance with ref A:
- (1) Water and sanitation – projects to repair or reconstruct water or sewer infrastructure, including water wells.
  - (2) Food production and distribution – projects to increase food production or distribution processes.
  - (3) Agriculture – projects to increase agricultural production or cooperative agricultural programs.
  - (4) Electricity – projects to repair or reconstruct electrical power or distribution infrastructure, including generators.
  - (5) Healthcare – projects to repair or reconstruct hospitals or clinics or to provide urgent healthcare services, immunizations, medicine, medical supplies, or equipment.
  - (6) Education – projects to repair or reconstruct schools, purchase school supplies or equipment.
  - (7) Telecommunications – projects to repair or reconstruct telecommunications systems or infrastructure.
  - (8) Economic, financial, and management improvements – projects to improve economic or financial security.
  - (9) Transportation – projects to repair or reconstruct transportation systems, roads, bridges, or transportation infrastructure.
  - (10) Rule of law and governance – projects to repair or reconstruct government buildings such as administration offices, court houses or prisons.
  - (11) Irrigation – projects to repair or reconstruct irrigation systems.
  - (12) Civic cleanup activities – projects that remove trash, clean-up the community, or perform beautification.
  - (13) Civic support vehicles – projects to purchase or lease vehicles to support civic and community activities.
  - (14) Repair of civic and cultural facilities – projects to repair or restore civic or cultural buildings or facilities.
  - (15) Repair of damage that results from US, coalition, or supporting military operations and is not compensable under the Foreign Claims Act.

- (16) Condolence payments to individual civilians for death, injury, or property damage resulting from US, coalition, or supporting military operations.
- (17) Payments to individuals upon release from detention.
- (18) Protective measures, such as fencing, lights, barrier materials, berming over pipelines, guard towers, temporary civilian contractor guards, etc. to enhance the durability and survivability of a critical infrastructure site (oil pipelines, electric lines, etc.) and
- (19) Other urgent humanitarian or reconstruction projects – projects to repair collateral battle damage not otherwise payable because of combat exclusions or condolence payments.

d. Commanders will ensure that CERP projects focus primarily on:

- (1) Reconstructing structures damaged after military operations to rapidly improve conditions, such as repairing homes, roads, and mosques.
- (2) Making emergency repairs on critical facilities, such as hospitals, water treatment facilities, and electrical plants.
- (3) Resolving critical infrastructure shortfalls that can be rapidly fixed, such as repairing bridges, sewage systems, and telephone systems.
- (4) Reducing the risk of injury to the local populace, such as constructing security fences around community swimming pools, and installing signs at traffic control points.
- (5) Procuring critical equipment to replace lost, stolen, non-repairable items, or to establish critical community essential services, such as buying new parts for a water pump, back up generators for a hospital, or firefighting equipment for a community fire department.
- (6) Employing as many Iraqi people as possible.

e. CERP **will not be used** for the following purposes:

- (1) Direct or indirect benefit to U.S., coalition, or other supporting personnel;
- (2) Providing goods, services, or funds to national armies, national guard forces, border security forces, civil defense forces, infrastructure protection forces, highway patrol units, police, special police or intelligence or other security forces;
- (3) Except as authorized by law and separate implementing guidance, weapons buy-back programs, or other purchases of firearms or ammunition.
- (4) Entertainment;
- (5) Reward programs;
- (6) Removal of unexploded ordnance;
- (7) Duplication of services available through municipal governments;
- (8) Salaries, bonuses, or pensions of Iraqi military or civilian government personnel;
- (9) Training, equipping, or operating costs of Iraqi security forces;
- (10) Support to individuals or private businesses (exception: condolence and battle damage payments);
- (11) Conducting psychological operations, information operations, or other US, coalition, or Iraqi Security Force operations.

### **3. PROGRAM MANAGEMENT.**

a. The CERP program has three primary components: Reconstruction, Iraqi Economic Initiative (IEI), and Death Benefits/Battle Damage. The overall program coordinator is MNC-I

C8. The primary responsibilities are to ensure consistency between functional program managers, identify timelines for program updates, coordinate data calls for the overall CERP requirements, and coordinate with the functional program managers and the Effects Coordination Center in making CERP distribution proposals.

b. Reconstruction. The Reconstruction functional program manager is the MNC-I C7. They are primarily responsible for reconstruction reporting, policy, monitoring of reconstruction projects, and overall tracking of reconstruction efforts.

c. Death Benefits/Battle Damage. The Death Benefits/Battle Damage functional program manager is the MNC-I C8.

d. Iraq Economic Initiative (IEI). The IEI functional program manager is the MNC-I C9. The goal of the IEI is to support critical MNC-I and other US government initiatives that build Iraqi confidence in the transition to a participatory, stable, and democratic Iraq. It draws extensively on the projects and programs established and funded through the MNC-I Commander's Emergency Response Program. The IEI will serve to assess, design and implement programs that are characteristically fast, flexible, innovative, tangible, targeted, and focused on root social issues.

#### **4. PROGRAM OVERVIEW.**

a. The CERP Family of Funds is an effects enabler that provides Commanders with a non-lethal weapon system for high payoff projects and services. With most projects averaging less than \$100K, CERP provides a quick and effective method that provides immediate, positive impact on the Iraqi people while other larger reconstruction projects are still getting off the ground. The keys to project selection are (1) execute quickly; (2) employ many Iraqis; (3) benefit the Iraqi people; and (4) be highly visible. Detailed execution guidance is contained in Appendix 1 for CERP and Appendix 2 for Commander's Humanitarian Relief and Reconstruction Program (CHRRP).

b. Commanders will coordinate and determine project needs with local Iraqi government agencies, civil affairs elements, engineers, and the Provincial Reconstruction and Development Councils (PRDCs) and/or Provincial Reconstruction Teams (PRTs) to gain the greatest effect and ensure effect synchronization. Such efforts may also include complementary programs provided by the U.S. Agency for International Development (USAID) and other non-governmental agencies operating in their area of responsibility.

c. MNC-I Major Subordinate Commanders (MSC) have approval authority of up to \$500K. This authority may be delegated to Brigade and lower Commanders at the MSC Commander's discretion. The MNC-I Commander approves projects greater than \$500K for all Corp units. The MNSTC-I Commander approves projects greater than \$500K for MNSTC-I.

d. Commanders must ensure they are paying reasonable prices for services and supplies received and constructing projects to a modest, functional standard. Commanders will not deliberately over-pay for projects.

e. Commanders can quickly execute projects that do not exceed \$500K without a warranted contracting officer. U.S. appropriated and Iraqi funded CERP projects exceeding the \$500K

threshold require contracts by a warranted contracting officer. Use of a warranted contracting officer is recommended for projects under \$500K when the technical complexity or the scope of the project exceeds the abilities of the Project Purchasing Officer (PPO). Projects funded with the Commander's Humanitarian Relief and Reconstruction Program (CHRRP) have different limits and are addressed in Appendix 2.

f. There are six methods of payment in theater; U.S. currency electronic funds transfer (EFT), foreign currency EFT, U.S. treasury check, Iraqi Dinar check, U.S. currency, or Iraqi Dinar currency. To encourage economic development, it is recommended that all payments of \$2,500 or less are paid in Iraqi Dinar.


g. A summary of approval authorities is contained below.

Item	Limit	Approval Authority	Can be delegated?
Project Approval	<\$500K	MSC Cdr	Yes
Project Approval	>\$500K	MNC-I Cdr	No
Contract	>\$500K	Must be <b>awarded</b> by Warranted Contracting Officer	No
Condolence/Battle Damage Payments	>\$2.5<\$10K	First G.O. Commander in Chain of Command	No
Condolence/Battle Damage Payments	<\$2.5K	BDE Cdr	No
Condolence/Battle Damage Payments (for IA/IP damage)	ALL	MSC Cdr (All Separate BDEs must seek approval from MNC-I CoS)	No
Martyr Payment (IA/IP)	>\$2.5<\$10K	First G.O. Commander in Chain of Command	No
Martyr Payment (IA/IP)	<\$2.5K	MSC Cdr	Yes
Martyr Payment (non IA/IP Civ)	ALL	MSC Cdr (All Separate BDEs must seek approval from MNC-I CoS)	No

##### 5. REQUESTS FOR EXCEPTION.

a. Clarifications on this policy may be sent to the C8 as the program coordinator or to the respective functional program managers as identified above.

b. If a request for exception to this policy is required, it will be submitted to the Secretary of the Joint Staff (SJS) who will route them for staffing and approval as necessary.

  
DONALD M. CAMPBELL, JR.  
BG, U.S. ARMY  
Chief of Staff

Encls

1. Disbursing Standard Operating Procedures (SOP) #2, 8 Mar 2006
2. Project Purchasing Officer Letter Sample
3. Project Purchasing Officer Acquisition Instructions
4. Project Clearance Letter Sample
5. Commander's Monthly CERP Status of Funds Report Sample
6. DA FORM 3953 Sample
7. SF44 Sample
8. CERP Project File Checklist
9. CERP Process Flow Chart
10. DD 577 JAN 04 Signature Card Form
11. IRMS Benchmarks and Sub-sectors.
12. CERP Request Packet Checklist
13. CERP Standard Letter of Justification
14. IRMS Benchmarks and Sectors

## Appendix 1 – Responsibilities, Project Execution, and Management

1. Overview. The following outlines the responsibilities of key players and the project execution and management processes required to implement projects using CERP funds.

2. Responsibilities. Outlined below are the responsibilities for the key personnel executing the Commanders' Emergency Response Program.

a. Commander. The CERP program is a commander's program. As such, commanders at all levels have significant responsibility in ensuring the success of the program. The Commander identifies and approves CERP projects. The Commander must ensure proper management, reporting, and fiscal controls to account for funding. After project completion, the Commander will review the project results and issue a clearance memorandum for record stating: "I have reviewed and approved these projects, and they are complete and adhere to the guidelines set forth in the CERP guidance and applicable FRAGOs." Additional specific responsibilities include:

(1) Battalion Commander. Selects an individual who will manage the CERP project. Nominates Project Purchasing Officer to manage a project and a Paying Agent to make disbursements. Requests training for individuals selected as Project Purchasing Officers (through contracting) and Paying Agents (through Finance).

(2) Brigade Commander. Appoints Project Purchasing Officers and Paying Agents in writing. The appointment order specifies the maximum amount that the Project Purchasing Officer may manage or the Paying Agent may draw from the Finance Office. The PPO will only be issued appointment orders upon successful completion of PPO training by a warranted contracting officer. The BDE Commander must ensure that no one individual serves as both Project Purchasing Officer and Paying Agent.

(3) MSC Commander. Signs the monthly CERP Status of Funds statement prepared by the MSC Comptroller. Additionally, the MSC commander must identify a CERP Program Manager within the MSC. This program manager will be the primary POC for the MNC-I program coordinator.

b. MSC Comptroller. The MSC Comptroller certifies the availability of funds and ensures proper resource management and fiscal controls. They will clear Project Purchasing Officer and Paying Agent accounts. They will provide a monthly Status of Funds (SOF) report. The report is due on the 3<sup>rd</sup> of each month. The SOF due on the 3<sup>rd</sup> has to be signed by the MSC Commander (can be delegated to Chief of Staff or equivalent) to ensure Commander's involvement with the CERP program. The MSC comptroller submits this report to MNC-I C-8.

c. MSC CERP Program Manager. The CERP Program Manager maintains a list of unfunded requirements. The Program Manager updates projects in the Iraqi Reconstruction Management System (IRMS) as they occur and ensures all projects are up to date and accurate by the 2<sup>nd</sup> of each month.

d. Project Purchasing Officer. The Project Purchasing Officer (PPO) is a direct representative of the Contracting Officer. The PPO's authority to procure services and supplies is granted by the Commander IAW policies and procedures outlined in training received by the appropriate contracting office. The PPO manages the individual CERP projects and maintains project files IAW this SOP. The PPO may be held pecuniary (financially) liable, and could face administrative actions or criminal prosecution for making any prohibited purchases.

e. **Paying Agent.** The Paying Agent (PA) is a direct representative of the servicing finance office's Disbursing Officer (DO) and receives and disburses cash for CERP project expenditures. Paying Agents are trained by the servicing finance office and are pecuniary (financially) liable for any cash, negotiable instrument, and/or paid vouchers entrusted to them. Paying Agents are not authorized to delegate responsibility for funds to anyone else, including financial institutions. Any funds shall be delivered, transported, and safeguarded consistent with DoDFMR 7000.14-R, Volume 5, Chapter 3, (reference 1.D.) and applicable Finance Command policies and procedures. If the PA fails to abide by applicable regulations and procedures, the PA can be held liable for any losses of funds and may be subject to administrative actions or criminal prosecution.

f. **U.S. Warranted Contracting Office.** The warranted contracting office conducts formal training classes for Project Purchasing Officers (see Reference I), provides certificates of training in writing and awards contracts for all CERP projects over \$500K.

g. **U.S. Military Finance Office.** The supporting Disbursing Officer (DO), Deputy Disbursing Officer (DDO) or Disbursing Agent (DA) trains and briefs Paying Agents in their duties and responsibilities. The Paying Agent will sign a pecuniary liability statement in the presence of the DO or DDO (see Reference J).

h. **Coalition MSC Paying Agent.** The Coalition MSC Paying Agent acts as a Finance Office to fund Paying Agents within a Coalition MSC. (See Appendix 2).

i. **MNC-I C-8.** Receives all completed CERP project files and maintains files. Provides staff assistance visits to units based upon request to assist with project issues. C8 monitors the funds allocation, commitments, obligations, and disbursements of all MSCs and issues funding documents in accordance with the MNC-I Commander's Guidance.

j. **MNC-I C7.** Coordinates Reconstruction Program management and status reporting; staffs exceptions to policy; coordinates and chairs the Reconstruction Program Review Board; and plans and publishes reconstruction orders.

3. **Execution Process Overview.** The following is a step by step overview of the CERP execution process.

a. **MNC-I receives funding for the CERP program from CFLCC as these funds are provided from Army Budget Office.**

b. **MNC-I C8 develops recommended funds distribution plan in conjunction with C7, C9 and Chief of Effects.** This distribution plan is based on desired effects, operational priorities and ability to execute the funding. All distribution plans are approved by the MNC-I Commander.

c. **MNC-I C-8 distributes funding to Major Subordinate Commands (MSC) and/or Separate Brigades in accordance with the plan.**

d. **Commanders, in coordination with Iraqi government officials and agencies, and key staff elements, develop projects to meet the urgent humanitarian and reconstruction needs of the Iraqi people.**

e. **Units scope the proposed project, developing a statement of work or a project proposal that describes what the project is and what it will do.** Units provide this information to MSC CERP Project Manager.

f. Commanders approve projects consistent with their approval authority and funding availability. MSC commanders are given considerable leeway in the approval of projects as long as they meet the intent of the CERP program.

g. MSC Comptroller certifies availability of funding for approved projects. If funding is unavailable, CERP Program Manager maintains an unfunded requirements list.

h. MSC CERP Program Manager inputs complete project data into IRMS.

i. Commanders appoint a Project Purchasing Officer (PPO) to manage the project and a Paying Agent (PA) to process payments for the contractors.

j. The PPO then contracts to obtain services and supplies, subject to specific rules applicable to the project cost.

k. The PPO manages the project to completion.

l. The PPO directs the Paying Agent to make installment (in-progress) and final payments IAW with this SOP and Finance regulations.

m. The PPO submits project files to the MSC CERP Program Manager and clears with the MSC Comptroller and the approving Commander.

n. MSC CERP Program Manager updates project data in IRMS at least monthly. Project data should be accurate by the 25<sup>th</sup> of each month.

o. MSC Comptroller prepares a monthly Status of Funds (SOF) report. The report is due on the 3<sup>rd</sup> of each month. The SOF must be signed by the MSC Commander (can be delegated his Chief of Staff or equivalent). The MSC comptroller submits this report to MNC-I C-8.

p. Each MSC is required to reconcile the project information in IRMS with the financial information in STANFINS as of the last day of the month. CoS for each Division will sign a memorandum stating that the information in IRMS and in STANFINS have been reconciled or list the discrepancies. In most cases the obligations in the two systems will not be the same but the reason for the differences should be known. The reconciliation statement will be sent to MNC-I C8 NLT the 3<sup>rd</sup> of each month. The reconciliation statement may be combined with the SOF report.

q. MSC Comptroller turns in completed project files to MNC-I C-8 on a quarterly basis.

r. After every payment cleared by the PA to the DO (installment and final), the DO submits original payment vouchers to DFAS-Rome where the disbursement is recorded in the standard financial system (STANFINS) where it is maintained for future review and audit. Disbursements are not recorded in STANFINS until the PA clears with the finance office where the funds were drawn.

4. Project Management Procedures. The execution of a CERP project involves 6 steps: Project Identification, Project Approval, Project Funding, Project Execution, Project Payment, and Project Closure. Each of these steps is covered below.

a. Project Identification.

(1) Commanders, in coordination with Iraqi government officials and agencies, and key staff elements develop projects to meet the urgent humanitarian and reconstruction needs of the Iraqi people. Coordination with local officials is critical to ensure that the project meets a perceived need by the population, is appropriate for the culture, and will be maintained in the future. Coalition Forces have built numerous projects that did not meet their intended purpose due to lack of coordination with local officials. Operations, maintenance, and staffing should be discussed before any project begins.

(2) Units scope the proposed project, developing a statement of work or a project proposal that describes what the project is and what it will do. Units provide this information to MSC CERP Project Manager to identify it as a **planned project**. Scopes of Work should be sufficiently detailed to allow the contractor to know what needs to be done. At the end of the project if there is a disagreement as to what work should have been done the Scope of Work will be used to determine who is correct. If the work is not spelled out in the Scope of Work the contractor is not obligated to do it.

(3) The project proposal or statement of work will identify the estimated cost of the project, based upon previous similar projects or other information. If GRD or another organization is going to do the contracting and/or project oversight the cost of their services should be included in the estimated project cost.

(4) For Bulk Funds the unit requesting the project will prepare either a DA Form 3953 (Purchase Request and Commitment Form), a DD Form 1149 (Requisition and Invoice/Shipping Document), or a memorandum identifying the proposed project (for bulk funded projects). The Initiating Officer will either be the individual from the unit requesting funding, the MSC CERP Program Manager, or a Brigade/Battalion staff officer. The signature for the memorandum requesting authority to initiate a bulk funded project can either be an individual from the unit requesting the project or from the MSC CERP Program Manager.

b. Project Approval.

(1) Once the project has been identified a CERP Request packet will be submitted to the appropriate approval authority.

(2) Every CERP request packet that requires MNC-I approval must contain the following (see enclosure 13 for CERP Request Packet Checklist):

- (a) CERP Standard Letter of Justification (LOJ), (see enclosure 14)
- (b) MND Command Group endorsement
- (c) Scope of Work or Bill of Quantities
- (d) DA Form 3953, Purchase Request and Commitment form
- (e) Memorandum of Concurrence from MND if non- Battle Space Owner.

(3) The MSC and MNC-I Commander's approval authority is addressed in the base instructions. Projects will not be split to circumvent these limits.

(4) If the actual project costs exceed the DA3953/DD1149 or memorandum amount, then a new request to increase the funding will be prepared. The request memorandum or new DA3953/DD1149 has to be approved for the additional amount prior to making disbursements that exceed the amount on the original DA3953/DD1149.

(5) If the actual project costs exceed the original approving Commander's authority level, the project must be approved by the higher level commander prior to making disbursements that exceed the amount on the original project approval documentation. If a project over \$500K has already been approved by the MNC-I CG, any cost increases exceeding 20% must be resubmitted and approved by the MNC-I Chief of staff.

c. Project Funding

(1) Non-bulk funded projects.

(a) Upon Commander's approval, the DA3953/DD1149 is submitted to the MSC Comptroller's Office.

(b) The MSC Comptroller's Office processes the DA3953/DD1149 by issuing a PR&C number, printing the accounting classification on the document, signing block 21 as the Certifying Officer, and committing funds. There will be no co-mingling of funds in the same project (use only one funding source - U.S. appropriated CERP, Iraqi Interim Government (IIG) funds, or CHRRP).

(c) The following documents must be on file at the MSC Comptroller's Office prior to release of the DA3953/DD1149:

- DD Form 577 Signature Card for the Project Purchasing Officer.
- DD Form 577 Signature Card for the Paying Agent.
- Appointment Memorandum for the Project Purchasing Officer.
- Appointment Memorandum for the Paying Agent.

(d) The MSC Comptroller's Office will explain to the Project Purchasing Officer the differences from normal CERP projects for those funded by Iraqi government funds (see Appendix 2).

(e) The issuance of a funded DA3953/DD1149 authorizes the Project Purchasing Officer to contract the project.

(2) Bulk Funded Projects. The Pay Agent already has access to the funds necessary to pay those project bills authorized for payment by the Project Purchasing Officer. (See Appendix 2 for details on special execution of CERP funds). All projects must be entered into IRMS individually including projects that are paid for with bulk funds. Condolence payments and battle damage are the only instances where multiple payments can be consolidated for reporting purposes in IRMS and in the financial system. Records of individual payments must be maintained but they can be consolidated for reporting purposes.

(3) Once the project is funded it must be entered into IRMS. The projects status will continue to be tracked in IRMS throughout the life of the project.

d. Project Execution.

(1) The Project Purchasing Officer (PPO) will maintain a project file containing all copies of all documents created during the project.

(2) The Project Purchasing Officer contracts for services and supplies within the established dollar limits and in accordance with the training received from the U.S. warranted contracting office. The PPO negotiates payment terms to include price/cost, currency, and payment schedule. The PPO limit is \$500K per project. Requirements above the \$500K limit must be contracted by a warranted contracting officer.

(3) The Project Purchasing Officer will make the best effort to identify local Iraqi firms that may be able to satisfy the project requirements.

(4) Regarding the payment schedule, the Project Purchasing Officer will never authorize advance payments. Installment or in-progress payments based upon a percent complete are recommended payment schedules. Payments will normally be in U.S. dollars, although payments in Iraqi Dinar are authorized.

(5) The Project Purchasing Officer, when feasible, should seek multiple bids in order to encourage competition. We encourage seeking advice from the local contracting office for any projects greater than \$75K.

(6) The Project Purchasing Officer prepares a Standard Form 44 (Purchase Order-Invoice-Voucher) for each disbursement associated with the project for payments below \$500K in accordance with the payment schedule.

(7) Each SF44 must be complete to include a detailed description of supplies and/or services received. The "Ordered By" section of the form will include the signature of the Project Purchasing Officer and the title "Project Purchasing Officer". The Receiver of the goods or services will sign in the "Received By" block and include their position title. The Receiver of the goods or services will be an individual other than the Paying Agent or the Project Purchasing Officer.

(8) For any CHRRP project over \$2,500, the Project Purchasing Officer will prepare a DD Form 250 and have it signed by the receiver of the goods or services. The DD Form 250 will then be submitted to the servicing contracting office. Next, Finance will prepare a Standard Form 1034 (Public Voucher for Purchases and Services Other than Personal) for vendor payment. The Receiver cannot be the Project Purchasing Officer or Paying Agent.

(9) The Project Purchasing Officer will prepare a SF44s for each payment made. The total disbursement amount from all SF44s/SF1034s will not exceed the amount on the DA3953/DD1149 or approval memo for a bulk fund project.

(10) Obligations and disbursements should be entered into IRMS as they are made. Additionally the project status should be updated in IRMS as the project progresses. If funds are transferred to Gulf Regions Division (GRD) for project execution, the originating unit must enter the obligation amount in IRMS prior to the Military Inter-Departmental Purchase Request (MIPR) transmittal. Originating unit provides the IRMS Unit Record Identifier to GRD.

(11) If the project costs exceed the amount on the DA3953/DD1149, the Project Purchasing Officer will immediately contact the approving Commander. The Commander will either suspend work on the project or approve a funds increase memorandum (prepared by the PPO or contracting office awarding the contract) for the difference. The Commander approving the funds increase must have approval authority high enough for the total cost of the project.

(12) If the project is cancelled or suspended, the Project Purchasing Officer will immediately notify the approving Commander and the MSC CERP Manager.

#### e. Project Payments.

(1) The Paying Agent will take the DA3953/DD1149 to the Finance Office, with copies of the Project Purchasing Officer/Paying Agent Signature Cards and Appointment Orders, to draw cash for payment. The Finance Office will issue a DD Form 1081 (Statement of Agent Accountability) that acts as a hand receipt for the cash. The DD Form 1081 must reference the document number recorded on the DA3953/DD1149.

(2) The Project Purchasing Officer will contact the Paying Agent to arrange payment with the vendor. Both the Project Purchasing Officer and the Paying Agent will go together to make payment to the vendor.

(3) The Project Purchasing Officer authorizes payment on the SF44/SF1034. The Paying Agent will insert the dollar value of the goods or services and sign the SF44 immediately after the certification statement – “I certify that this account is correct and proper for payment in the amount of...”

(4) The Paying Agent disburses cash to the vendor in accordance with the training received from Finance Office. The vendor will sign the SF44/SF1034 and receive a copy. Both the Project Purchasing Officer and Paying Agent must be present at time of disbursement. The vendor should provide an invoice or receipt, either before or at the time of payment.

(5) Once the SF44/SF1034 is completed and all parties have signed, the SF44/SF1034 becomes an accountable document to the Paying Agent and it is a required document to clear the Paying Agent's DD Form 1081 from the Finance Office.

f. Project Closure.

(1) Once the project is completed the project will be closed in IRMS. The Project Status field will be changed to PHYSCOMP, the % complete field will be changed to 100, the completion date will be inserted in the Actual Completion Date field, and the disbursements will be entered. If funds were de-obligated then the obligation field should also be corrected.

(2) The Project Purchasing Officer and Paying Agent will clear with the MSC Comptroller and the Finance Office (where funds were drawn) with their completed SF44/SF1034, receipts and any remaining currency to clear their DD Form 1081. The DD Form 1081 must reference the document number recorded on the DA3953/DD1149. The Finance Office will prepare an SF1034 voucher for the total amount of all SF Forms 44 submitted. When bulk funding is used several projects may be completed on a bulk draw prior to clearing finance.

(3) The Paying Agent will keep or obtain a copy of all SF44/SF1034/DD1081 and provide a copy of all documents to the Project Purchasing Officer. The Project Purchasing Officer will clear the Paying Agent and provide a clearance memorandum to the Paying Agent upon receipt of all disbursement and agent documents.

(4) The Project Purchasing Officer will reconcile all documents used during the project. The project file will contain the following documents, as a minimum:

- (a) DA3963/DD1149.
- (b) Paying Agent appointment letter.
- (c) Project Purchasing Officer appointment letter.
- (d) DD Form 577, Signature Card for both Project Purchasing Officer and Paying Agent.
- (e) DD Form 1081 marked ON ADVANCE.
- (f) DD Form 1081 marked ON RETURN (cleared with a \$0 balance).
- (g) Copy of Complete Contract.
- (h) All SF Forms 44 or SF Forms 1034 paid.
- (i) DD Form 250 Receiving Report (if contract used).

- (k) Invoice from vendor (if provided).
- (l) Project proposal or statement of work.
- (m) Commander's clearance memorandum.
- (n) MSC Comptroller clearance memorandum.
- (o) For coalition units, equivalent forms in English with all the appropriate signatures and information may be substituted.

(5) The Project Purchasing Officer is encouraged to include other documents, pictures, diagrams, as appropriate. The project file will contain any legal opinions if done.

(6) The Project Purchasing Officer will then provide the Commander's clearance memorandum and provide the project file to the approving Commander for review.

(7) Commanders are required to review the project file, all disbursement vouchers, and supporting documentation. After review, the Commander will issue a clearance memorandum stating: "I have reviewed and approved the projects, and they are complete and adhere to the guidelines set forth in the current MNC-I CERP SOP and applicable FRAGOs."

(8) The Commander's clearance memorandum will be added to the project file by the Project Purchasing Officer. The Project Purchasing Officer will then submit the completed project file to the MSC Comptroller's Office for review, reconciliation, and clearance.

(9) The MSC Comptroller's Office will ensure the project file contains all documents described above. The Project Purchasing Officer is responsible for making corrections or providing memorandums explaining lost or illegible documents endorsed by the approving Commander.

(10) After receiving all required documentation in the project file, the MSC Comptroller must provide a clearance memorandum to the Project Purchasing Officer stating: "The following CERP Project is cleared, contractually sufficient, and within the scope of the appointed authority." A copy of the MSC Comptroller clearance memorandum will be placed in the project file.

(11) The MSC Comptroller's Office will provide completed project files to the MNC-I C-8 on at least a quarterly basis.

## Appendix 2 – Special Situations.

1. Special Situations. There are a number of special situations encountered in the CERP program. These range from different types of CERP affiliated funding (such as Development Fund for Iraq (DFI) funding) to special uses of CERP (such as condolence and detainee payments) to special execution of CERP. These items are addressed below.

### a. CERP Affiliated funding

#### (1). Interim Iraqi Government (IIG) Funds

(a) The Iraqi government periodically selects projects from each MSC unfunded requirements list to fund. The projects selected by the Iraqi government may include areas not otherwise authorized by CERP policies and procedures.

(b) Reference G requires that the Iraqi government approve any changes to their funded projects.

(c) Changes include projects running over the estimated amounts, projects canceled or not started, projects suspended, and recommended substitute projects. Changes may include or affect several projects running under estimated amounts with recommended additional projects.

(d) MSC Commanders will request in writing through the MNC-I Commander to the MNF-I Commander to make any changes. The MNF-I Commander will forward requests to the Iraqi government for their approval.

(e) MSC Commanders will not start substituted projects or exceed estimated costs until receiving approval from the Iraqi government.

(f) Requests will include complete information on the change. It should explain why the project was not started, canceled, or suspended. It should provide sufficient explanations for projects exceeding the cost estimate. Recommended substitute or additional projects should be described with attached project proposals or statements of work.

(g) MSC Commanders are reminded that the Iraqi government may choose to have funds returned, direct suspended or canceled projects be started, agree with the recommendation, choose other projects to start, or direct the management of these projects be turned over to their government.

#### (2). Development Fund for Iraq (DFI) and Seized CERP.

(a) DFI and Seized CERP were available to MNC-I for use in CERP projects up until 28 June 2004 and 30 September 2004, respectively. Currently, the remaining funds are managed by the JASG-C J-8 Office.

(b) MSC Commanders will continue to manage CERP projects funded with DFI and Seized CERP until they are completed, canceled, or abandoned. These projects will be reported through IRMS to MNC-I C-7 and monthly through the Commander's CERP Status of Funds report.

(c) MSC Comptrollers will identify funds released due to cancellations or when costs are under the DA3953/DD1149 estimated amount. MSC Comptrollers will direct

the Paying Agent to turn in excess funds to the JASG-C J-8 office immediately to reduce excess funds on the battlefield. MNC-I C-8 will be notified on these turn-ins.

(d) MSC Commanders may not reuse, commit, or obligate DFI or Seized CERP funding for any new projects or to provide additional funding to current projects. These are funds of the Iraqi government, and any use beyond their original intended purpose is improper.

(e) MSC Commanders and Comptrollers will ensure that Paying Agents with DFI or Seized CERP funds clear with JASG-C J-8 and transfer funding to incoming Paying Agents prior to their departure from the command or theater.

b. Special Uses for CERP

(1). Condolence Payments and Battle Damage Payments

(a) References F authorizes the payment of condolence payments for death, injury, or battle damage in the amounts up to \$2,500. This means for each death, each injury, and each incident of property damage CERP funds can be used to pay the family. For example, two members of the same family are killed in a car when the car is hit by U.S. forces. The head of that household could receive a maximum of \$7,500 in CERP condolence payments - \$2,500 for each death (\$5,000) and \$2,500 for the damage to the vehicle. The Brigade commander is the approval authority for condolence payments. Exceptions to policy for extraordinary cases may be approved by the MSC CG (General Officer) for payments up to \$10,000 per incident. This authority cannot be delegated.

(b) Condolence payments can be paid to express sympathy and to provide urgently needed humanitarian relief to individual Iraqis and the Iraqi people in general. Commanders must verify that a claim is not a viable option prior to using CERP for condolence payments. Condolence payments are different from claims and are not an admission of fault by the U.S. Government. It is crucial to remember that when a Commander uses CERP funds, it is not an acknowledgement of any moral or legal responsibility for someone's death, injury, or damaged property. Condolence payments are symbolic gestures and are not paid to compensate someone for a loss. CERP condolence payments are not Solatia payments and will not be referred as such. In addition, condolence payments are only for Coalition/US Force caused incidents.

(c) Battle damage and condolence payments for IA/IP caused damage in unusual circumstances may be approved on a case by case basis by the MSC CG. This authority cannot be delegated.

(2). Martyr Payments.

(a) Martyr payments are defined as a payment to the surviving spouse or next of kin of Iraqi Army (IA)/ Iraqi Police (IP), or in extraordinary circumstances, government civilians (i.e. PRDC employees) who were killed as a result of U.S., coalition, or supporting military operations. Martyr payments are considered a subset of the OSD authorized condolence payment, but are only payable in the event of the death of one of these authorized individuals and at the same amounts as condolence payments.

i Commanders must bear in mind that the MOI and MOD make martyr payments to the families of IA and IP forces to provide long term assistance. It may not be prudent to make it a standing practice to make substantial condolence payments to the families of every fallen Iraqi Security Force member and full

consideration must be given to the Iraqi MOD/MOI martyr payment system. Martyr payments to IA/IP families should be minimal and used to provide immediate assistance only.

ii Martyr payments for non-Iraqi Army or Iraqi Police casualties must be approved by the MSC Commander (General Officer) only in extraordinary circumstances and on a case by case basis. This authority cannot be delegated.

(3). Detainee Release payments.

(a) IAW current MNC-I policy, detainees released from an MNC-I detention facilities will be paid \$6 dollars a day for each day they are held in the detention facility. This payment will be automatic unless there is a finding by the facility commander that payment is not appropriate in a particular case. The payments will be made to provide humanitarian relief to the family and community for time spent in detention.

(b) This policy does not authorize payments to detainees upon transfer to Theater Internment Facilities.

(c) Detainee payments are not compensation, but are expressions of sympathy for wages lost during detention to provide urgently needed humanitarian relief to individual Iraqis for their families. Detainee payments are not claims, are not an admission of fault by the government, and are not an acknowledgement of any moral or legal responsibility for a person's detention.

(d) Documentation of detainee payments will include the name of the recipient, the date that the incident occurred, city and province where incident occurred, and a detailed description of the extent of the incident. These assessments must be documented in a memorandum certified by the approver of the project.

(4). Procedures for Condolence/Battle Damage/Martyr/Detainee Payments

(a) The Commander may choose to make multiple payments against one DA3953, in amounts up to \$50,000. The Project Purchasing Officer will obtain approval from the Commander.

(b) Upon Commander approval, the Paying Agent may go to the Finance Office and use the DA3953 for a bulk draw of cash in U.S. dollars or, if available, Iraqi Dinar. If Iraqi Dinar are available in your area, payments less than \$2500 should be paid in local currency

(c) The Paying Agent makes disbursement using a roster that provides the name of the recipient, the amount, and their signature. The Project Purchasing Officer and Paying Agent will certify each roster that it represents the actual payments made to Iraqi individuals or heads of household for condolence payments.

(d) The Project Purchasing Officer will prepare a memorandum providing a description and explanation for the condolence payments. This will include the date(s) that the incident occurred, city and province where incident occurred, and a detailed description of the extent of the incident. The Commander will sign this memorandum. The memorandum and all rosters will become part of the project file.

(e) Clearing of all bulk fund accounts will be completed according to FINCOM guidance. See Enclosure 2, Disbursing Standard Operating Procedures (SOP) #2, 8 Mar 2006.

(f) Any payments for battle damage cannot also be identified as claims. Claims for damage caused by combat are specifically not payable under the Foreign Claims Act.

## 2. Special Execution of CERP

### a. Project Bulk Funds.

(1) MSC's are authorized to draw bulk funds for projects. Bulk funds are lump sum withdrawals from Finance made by a Pay Agent. The purpose of bulk funds is to allow approved projects to be initiated more quickly and closed out sooner than if individual withdrawals were made for each project. The withdrawal of bulk funds is limited to \$50K per Battalion and \$200K per Brigade/Division level unit. The authority to draw bulk funds is at the discretion of the MSC commander and may be delegated as the MSC commander requires; but in no case may a Pay Agent have more than the authorized limit in bulk funds at a time.

(2) The approval of bulk funds does not impact the project approval process. The Commander must approve all bulk funded projects prior to PPOs awarding contracts or memorandums of agreement (MOAs). **Each individual project must be approved and documented in IRMS separately, regardless of whether they are bulk funded or have a separate purchase, request, and commitment document.**

(3) Clearing of all bulk fund accounts will be completed according to FINCOM guidance. See Enclosure 2, Disbursing Standard Operating Procedures (SOP) #2, 8 Mar 2006.

### b. Execution by Coalition Major Subordinate Commands

(1) Because of U.S. financial regulations, the methods to fund and disburse CERP projects with Coalition MSCs will vary from the normal procedures.

(2) The Coalition MSC Commander will appoint a MSC Paying Agent to receive the cash from the U.S. Military Finance Office. The Coalition MSC Paying Agent will receive training from MNC-I C-8 and the U.S. Military Finance Office on how to issue/return funds and disbursement vouchers to/from Paying Agents using DD Form 1081.

(3) MNC-I C-8 will prepare a DA Form 3953 and a SF Form 1034 to fund the Coalition MSC. The Coalition MSC Paying Agent will then receive cash when the U.S. Military Finance Office disburses the SF Form 1034.

(4) The Coalition MSC Paying Agent will act as the "Finance Office" in these procedures to issue cash to Paying Agents within the Coalition MSC. The Coalition MSC Paying Agent will receive returns of remaining funds and disbursement vouchers from Paying Agents. All issues and returns will use DD Form 1081.

(5) On a monthly basis, the Coalition MSC Paying Agent will turn in copies of all DD Forms 1081 and disbursement vouchers received from Paying Agents to the Coalition MSC Comptroller.

(6) The Coalition MSC Comptroller will ensure that the Coalition MSC Paying Agent clears and transfers any remaining cash to the next appointed Coalition MSC Paying Agent prior to leaving the command or theater. The Coalition MSC Comptroller will issue a clearance memorandum to the former Coalition MSC Paying Agent.

c. Funding for non-battlespace owners. Non-battlespace owner's may require the payment of CERP for specific projects or for condolence payments. In the case of projects (either reconstruction or Iraqi Economic Initiative (IEI), requests for funding must be made through MNC-I C7 and must show coordination with the battlespace owner to ensure the project is consistent with and not redundant to other projects in that area and that they support the battlespace owners desired effects.

d. Payments in Iraqi Dinars.

(1) The use of Iraqi Dinar for vendor payments is encouraged. However, there may be times when the Iraqi vendor insists on payments in U.S. dollars. The currency and method of payment (cash vs. check or EFT) should be weighed against economic and security effects. The Project Purchasing Officer will identify prices/costs in both U.S. dollars and Iraqi Dinar with the vendor.

(2) If the local Finance Officer is unable to provide Iraqi Dinar currency, the Paying Agent may go to a local bank to purchase the required amount of Iraqi Dinar to make payment. The Paying Agent will indicate on the SF44/SF1034 the amount in U.S. dollars and Iraqi Dinar paid to the vendor.

(3) The cost of the currency exchange transaction is part of the cost of the CERP project. The Project Purchasing Officer will prepare a separate SF44 to reflect the currency transaction cost. This SF44 should be signed by a representative at the local bank where the U.S. currency was exchanged for Iraqi Dinar. It is prohibited to convert funds based on changing currency exchange rates in order to make a profit.

(4) The Project Purchasing Officer will ensure that the project cost and currency exchange transaction cost (in U.S. dollars) does not exceed the DA3953/DD1149 amount.

(5) Project Purchasing Officers and Paying Agents may consult with the Finance Office to determine if an Iraqi Dinar check or EFT is a possible form of payment. General thresholds for local currency is cash for payments <\$2,500 and check/EFT/U.S. dollars for payments > \$2,500.

## Appendix 3 – CERP Reporting

### 1. Overview.

a. The overall success of CERP reporting is based on checks and balances. The two main systems that track CERP information are the Iraqi Reconstruction and Management System (IRMS) and the Army accounting systems. IRMS is the central database for reporting all projects initiated under the CERP family of funds while the accounting system tracks all commitments, obligations and disbursements against these CERP projects. Through a coordinated effort of commanders, MSC CERP Program Managers, civil affairs, engineers, effects coordinators, PPOs and the organization's comptrollers, both systems will remain up to date and accurately reflect the status of projects to ensure fidelity in reporting. MNC-I provides detailed monthly reports to higher commands that ultimately reach the office of the Secretary of Defense for review and are used for audit purposes. Leaders at all levels make decisions for future funding based on these reports. Additionally, these reports are used to provide a Reconstruction Common Operating Picture (COP).

b. Reconstruction Program Review Board (PgRB). MNC-I C7 chairs a bi-weekly program review board via Information Work Space (IWS) for MSC's to update MNC-I regarding ongoing reconstruction initiatives. The Reconstruction PgRB is vital for non-lethal enablers – civil military operations, engineers, resource management and effects to update program status, reconstruction plans, new guidance, and quality assurance. MSCs will ensure civil affairs, engineers, effects and comptrollers participate in the Reconstruction PgRB. MSC's provide and brief a reconstruction update that integrates non-lethal enablers input for each province and strategic city.

### 2. MSC Comptroller Requirements.

a. MSC Comptrollers must maintain a document register for each CERP Family of Funds (CERP (FY04, FY05, FY06, FY07), DFI, Seized, IIG, and CHRRP).

b. While Army Division Comptrollers must maintain their own DCAS records, MNC-I C-8 is responsible for maintaining DCAS for those MSC Comptrollers who receive a Military Interdepartmental Purchase Request (MIPR) or Purchase Request and Commitment Form (DA Form 3953) drawing bulk funds.

c. MSC Comptrollers must submit a monthly MSC Commander's CERP Status of Funds report to MNC-I C-8 on the 3<sup>rd</sup> of every month.

(1) MSCs must provide status for each type of funding received which includes CERP (FY04, FY05, FY06, FY07) DFI, Seized, CHRRP and IIG.

(2) MSC Commanders will submit a signed CERP Status of Funds report to MNC-I C-8 not later than the 3<sup>rd</sup> of each month. MSC Commanders will sign and forward a statement of assurance that all fiscal controls and program procedures were followed (can be delegated to Chief of Staff or equivalent).

COMMANDER'S CERP STATUS REPORT				
TYPE OF CERP FUNDING	CUMULATIVE FUNDS ALLOCATED	CUMULATIVE FUNDS COMMITTED	CUMULATIVE FUNDS OBLIGATED	CUMULATIVE FUNDS DISBURSED

(3). The following defines the information required in the monthly MSC Commander's CERP Status of Funds report:

a. Type of CERP Funding – Indicate CERP (FY04, FY05, FY06, FY07), DFI, Seized, CHRRP, or IIG.

b. Cumulative Funds Allocated – Total funds distributed to MSC. The total funding distributed on a RDD/MIPR/DA3953.

c. Cumulative Funds Committed – Total funds committed to pay for projects. The total of all approved and certified DA3953/DD1149.

d. Cumulative Funds Obligated – Funds are obligated based on the dollars awarded for contracts or paid for condolence/battle damage.

e. Cumulative Funds Disbursed – Amount of money paid to vendors or individuals for goods and/or services. The total of all SF44/SF1034/DD1081.

d. The Commander's monthly CERP Status of Funds report will also include the following statement: "I have verified that all controls and procedures were followed, and the unit is exercising appropriate fiscal oversight in accordance with MNC-I fragmentary orders and command guidance. In addition, I certify the monthly status of funds report as true and accurate."

e. MSC Comptrollers must also submit, either as a part of the above report and certification or as a separate report and certification, a monthly reconciliation of data in IRMS with data in STANFINS, or Service / Coalition equivalent. The report must certify that the data in IRMS matches the data in the financial system or identify the discrepancies.

(1) NLT the last day of the month, the MND CERP managers will retrieve IRMS obligation amounts from the MNC-I BUA report in IRMS and reconcile it to the data recorded in STANFINS or the Service / Coalition equivalent. Discrepancies must be identified and the corrections identified on the report.

(2) Ensure that the certification memo includes the amount reflected in STANFINS or the Service / Coalition equivalent, the obligated amount in IRMS, and any ongoing corrective actions.

(3) The memo must include one of the following statements:

"The CERP obligations in IRMS have been reconciled with the CERP obligations in STANFINS financial system or service / coalition equivalent system and no discrepancies were found"

"The CERP obligations in IRMS have been reconciled with the CERP obligations in STANFINS financial system or service / coalition equivalent system and the following discrepancies were found"

f. MSC CERP Managers are required to update all project status in IRMS as updates occur. It is imperative that the IRMS project status reflect accurate amounts committed, obligated, and disbursed for each of the MSCs projects. At a minimum, these numbers must be reconciled with the MSC CERP Status of Funds report monthly. Accurate reporting of projected and actual start and completion dates, detailed project descriptions and proper grid locations require timely input and updates as changes occur.

(1) IRMS uses benchmarks (sectors) to categorize projects into distinct and separate areas: Buildings, Health, Education, Transportation, Communications, Security and Justice, Electricity, Oil, Public Works & Water, Private Sector Development, Transition, and Peacekeeping. These benchmarks are broken into sub-sectors which define the benchmark. Benchmarks are valuable in that they provide a common reference across different funding types. All of the reconstruction efforts in Iraq are categorized by the same benchmarks to allow decision makers to compare levels of work in universal categories. A listing of the benchmarks and sub-sectors is in enclosure 12.



DEPARTMENT OF THE ARMY  
UNITED STATES ARMY FORCES CENTRAL COMMAND  
COALITION FORCES LAND COMPONENT COMMAND  
266TH FINANCE COMMAND  
APO AE 09366

AEUFC-CDR

8 Mar 06

## MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI) (Revision 1)

## 1. References:

- a. Field Manual (FM). 14-100. Financial Management Operations. Appendix C. 7 May 97.
- b. Defense Finance and Accounting Service - Indianapolis (DFAS-IN) Regulation 37-1, Finance and Accounting Policy Implementation, 25 Jan 00.
- c. Department of Defense Financial Management Regulation (DoDFMR) Volume 5. Disbursing Policy and Procedures, Chapters 2. Disbursing Offices, Officers, and Agents: and Chapter 3, Keeping and Safeguarding Public Funds. Jun 05.

2. Purpose: The purpose of this SOP is to provide paying agents specific instructions relating to the scope and performance of their duties.

3. Scope: This SOP is applicable to all paying agents appointed to a Disbursing Officer (DO) within the 266th Finance Command's (FINCOM) (FWD) area of responsibility (AOR).

4. Concept: Paying agents are authorized to receive and disburse cash for official business in accordance with the provisions of this memorandum and the cited references. Paying agents are pecuniary liable for any cash, negotiable instrument, and/or paid vouchers entrusted to them; therefore, it is imperative that paying agents become familiar with these instructions. If paying agents fail to abide by applicable regulations, MOIs and SOPs, they will be held liable for any losses of funds and be subject to administrative actions or criminal prosecution.

## 5. General:

## a. Appointment of paying agent.

(1) The following personnel are eligible to be appointed as paying agent to a DO, within the 266th FINCOM FWD AOR:

(a) Commissioned or warrant officers.

(b) Enlisted personnel in the grade of E7 or above (exceptions can be made for the rank of E-6, if personnel resources are limited and is authorized by the unit commander).

(2) Unit Commanders will appoint eligible individuals to be placed on orders as paying agent officers to a disbursing officer within the 266th FINCOM FWD AOR (template at enclosure 1).

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SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI) (Revision 1)

b. Required Documentation. To receive funding from a DO/DDO, the paying agent must complete and bring the following to the DO/DDO:

- (1) Original copy of paying agent appointment orders (enclosure 1).
- (2) Valid U.S. Armed Forces Identification Card.
- (3) DA Form 3953, Purchase Request and Commitment (PR&C).
- (4) Copy of field ordering officer (FOO) appointment orders signed by the head of the contracting office or his/her designee. Note: The FOO cannot also be the paying agent.
- (5) FOO's DD Form 577, Signature Card, signed by the commander.

c. Training. Immediately upon appointment as a paying agent, the agent will be familiarized with the cited references. In addition, all paying agents within the 266th FINCOM's FWD AOR must be trained/briefed by the DO, Deputy Disbursing Officer (DDO) or Disbursing Agent (DA) prior to signing for any funds. Once the DA is satisfied that the prospective paying agent is trained/briefed on the duties of a paying agent, the paying agent will sign a pecuniary liability statement in the presence of the DA. Only upon receipt of the required documentation and a signed pecuniary liability statement, will a paying agent receive any funds.

d. Funding.

(1) The paying agent will be advanced all funds on one DD Form 1081, Statement of Agent Officer's Account. Foreign Currency will be advanced at the foreign currency exchange rate at time of issue and returned at the foreign currency exchange rate at the time of clearing the DDO/DA. The paying agent will verify the amount of funds advanced by ensuring the amount received matches the amount specified on the DD Form 1081. Any discrepancies between the amount received and the amount on the DD Form 1081 must be resolved prior to leaving the disbursing office. Once the paying agent leaves the disbursing office, the paying agent assumes all liability for discrepancies. Paying agents will acknowledge receipt of funds by signing and dating the DD Form 1081 in the block entitled "On Advance". The DO will keep two copies of the DD Form 1081 and the paying agent will retain one copy.

(2) Amount funded will be the total of PR&C(s) approved. If the paying agent is directly supporting a contracting officer instead of a FOO, the maximum amount can be raised up to \$50,000.00 (not to exceed the amount of the PR&C). Exceptions to the above limits must be approved by the DO/DDO, usually upon recommendation of the unit commander supported by the contracting command.

e. Keeping and safeguarding of public funds.

(1) As a paying agent, paying agents are pecuniary liable to the DO from whom the funds were drawn, for the full amount of funds drawn. As a result, paying agents will provide security as specified in the DoDFMR, Vol. 5. This means, that paying agents must be the only person to have access to the paying agents funds. Paying agents are not authorized to delegate responsibility for paying agents funds to anyone else, including financial institutions. Funds received, as a paying agent must not be co-mingled with any other funds, private or public. If funds are not in the physical possession of the paying agent, they must be secured in an approved safe to which only the paying agent has the combination. If an approved safe is not available, a field safe may be used, in conjunction with an armed guard, until such

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SUBJECT: Disbursing Standing Operating Procedure (SOP) # 2 - Paying Agent Memorandum of Instruction (MOI) (Revision 1)

time an approved safe can be obtained or until the paying agent removes the funds. Approved safes are as follows:

(a) Up to \$50,000.00 (cash, negotiable instruments, and paid vouchers): Class 1 or Class 5 - OR - Tool-Resistant Safe TL 15 with a Group 1R combination lock.

(b) \$50,000.00 and up (cash, negotiable instruments, and paid vouchers): Tool-Resistant Safe TL 30 with a Group 1R combination lock.

(2) Transporting funds:

(a) The unit must provide an armed guard for funds of \$10,000.00 or more (Unit Commanders are responsible for ensuring the guard receives a deadly force briefing and is qualified with the weapon).

(b) All funds will be transported in a government vehicle.

f. Obtaining Foreign Currency or U.S. Dollars. Paying agents are not authorized to exchange moneys for different currencies from anyone but the DA who originally advanced the funds. If the paying agent needs more Foreign Currency or more U.S. Dollars, an appointment must be made with the DA to clear the paying agent's account and draw the proper amounts of each currency needed. This is why it is imperative that the agent requests the proper amount of each currency during the initial funding. Failure to comply with these instructions could cause the paying agent to become fully liable for losses incurred as a result of fluctuating exchange rates. In extreme emergencies, the DO is the only one who may make exceptions (poor planning by the paying agent does not constitute an emergency).

6. Specific Instructions.

a. Paying agents for Individual Purchases of \$2,500.00 or less. Paying agents are only authorized to make payment for purchases approved by paying agents' FOO(s). Paying agents' FOO(s) is/are the FOO(s) whose orders and DD Form 577 were brought to the servicing finance unit from whom the paying agents drew the funds. Any purchase receipt (SF 44, Purchase Order - Invoice - Voucher) bearing the signature of a FOO that does not have orders and a signature card on file at the servicing finance unit will be rejected.

(1) All purchases must be made on an SF 44 (these forms may be obtained from the Directorate of Contracting (DOC). General instructions for the use of the SF 44 are as follows:

(a) The individual or cumulative amount on any single SF 44 will not exceed \$2,500.00 (splitting a single purchase over two SFs 44 is prohibited).

(b) Goods or services must be immediately available.

(c) Only one delivery and payment allowed per SF 44.

(d) Must be prepared by the FOO according to instructions received by the contracting office and this SOP. It must include an itemized invoice or be filled out on the SF 44 (see attached SF 44 for additional guidance).

(2) Distribution of the SF 44.

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(a) The paying agent will keep copies 1 and 3 to support his/her payment. These will be used to clear the paying agents account at the servicing finance unit. Copy 1 must be safeguarded in the same manner as the cash.

(b) The vendor gets copy 2 at the time of the sale.

(c) Copy 4 will be kept in the book of forms. The contracting office supplies the forms.

(3) Paying agents are responsible for the following:

(a) Maintaining a ledger that shows beginning figures drawn from the servicing finance unit and each SF 44, by number, as a deduction from the beginning figures (be sure to include exchange rates, if known).

(b) Ensuring that the SFs 44 on hand and cash on hand add up to the amount of the original advance (balance at a minimum of once a day).

(c) Reporting any irregularities to the servicing finance unit immediately upon discovery.

(d) Reporting status to the DO monthly.

(e) Adhering to the general instructions of this SOP.

b. Single Purchases of \$2,500.01 and over.

(1) FOOs are not authorized to approve purchases that exceed \$2,500.00.

(2) Contact the 266th FINCOM for further instructions when faced with making a payment for over \$2,500.00.

#### 7. General Information.

a. Irregularities. When balancing, if paying agents notice any overages or shortages, cease all paying activities and contact the DO from whom paying agents were advanced funds. Specific guidance will be given at that time. In the event paying agents cannot reach the DO, follow these guidelines:

(1) Organize all receipts and check them off in paying agents ledger.

(2) Count paying agents money several times to verify that the total of all receipts and money equals the beginning balance. If not in balance, move to next step.

(3) Prepare a memorandum for record that shows the date and balance of the last time paying agents were in balance. In addition, list all purchases made after the last time paying agents were in balance. If paying agents suspect that anyone else may have had access to paying agents funds, list their name, the date and time of their possible access, and any circumstances surrounding their possible access.

(4) Record the adjustment in paying agents ledger to bring paying agents back into balance.

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(5) Do not, under any circumstances, make up for the difference out of paying agents own money. The DO will make a determination as whether or not to recommend paying agents are held liable based on the circumstances.

b. Clearing Paying Agents Account.

(1) The FOO must go to the Directorate of Contracting (DOC) to get the letter of clearance/termination before making an appointment to clear finance. This letter lets finance know that DOC has verified and cleared all purchases.

(2) Letter of Clearance/Termination, DA Form 3953, Purchase Request, and paying agents SFs 44, will be taken to the servicing finance unit. An appointment must be made to clear finance prior to the expiration date on paying agents' orders. The following will make clearing easier:

(a) Make appointment to clear on a day when paying agents have time to clear. The DA will not clear paying agents any faster just because paying agents have appointments. The clearing process cannot stop once started.

(b) Ensure paying agents have 4 copies of all vouchers and supporting documentation (copiers are available at the finance office).

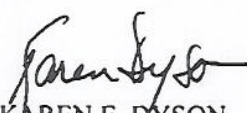
(c) When paying agents clear disbursing, ensure the DD Form 1081 received is signed in the "on return" block by the paying agents and the DA. Keep one copy for the paying agents' records. Paying agents must reconcile every 30 days or prior to the paying agent's scheduled departure from theater, whichever is sooner. If this cannot be done, they must make positive contact with the disbursing agent to request an extension.

c. Extraordinary Occurrences. If paying agents have a situation arise that is not covered by this SOP or the other cited regulations, stop and call the DO/DDO/DA from whom the funds were advanced.

8. Point of contact is the 266th FINCOM FWD. Disbursing Operations at DSN 318-829-1805.

3 Encls

1. Example Paying agent Appointment Order
2. Example SF 44
3. Example paying agent Ledger

  
KAREN E. DYSON  
COL. FC  
Commanding

DISTRIBUTION:

8th FINANCE BATTALION  
101st SOLDIER SUPPORT BATTALION  
208th FINANCE BATTALION  
230th FINANCE BATTALION  
376th FINANCE BATTALION

## ENCLOSURE #1 (Example Paying Agent Appointment Order)

Unit Letterhead

MEMORANDUM FOR Finance and Accounting Officer, 266th Finance Command, APO AE 09336

SUBJECT: Paying Agent Appointment

1. Under the provisions of DODFMR, Volume 5, paragraph 020602, **RANK, NAME, and SSN**, is appointed as paying agent to **LTC John J. Jones**, Finance and Accounting Officer, 266th Finance Command.

2. **PURPOSE:** To perform duties as paying agent for \_\_\_\_\_ (i.e., Operation . . .) From \_\_\_\_\_ To \_\_\_\_\_ (If to dates are unknown, leave blank)

3. **MAXIMUM ADVANCE:** **\$US VALUE OF ALL FUNDS REQUESTED**

4. **ACCOUNTING CLASSIFICATION:** **SAME AS PR&C**

5. **SPECIAL INSTRUCTIONS:** Paying agent is authorized to make official government purchases that have been properly prepared and signed by the accompanying Ordering Officer and vendor. Funds will not be entrusted to others or intermingled with other funds. Paying agent will receive a copy of the 266th Finance Command Paying Agent MOI and understand these instructions prior to drawing funds. Funds will be secured at all times as required by DODFMR, Vol. 5.

\_\_\_\_\_  
(Cdr Printed Name)\_\_\_\_\_  
(Rank and Branch)\_\_\_\_\_  
(Title)

6. **STATTEMENT:** I accept my appointment as paying agent to **LTC John J. Jones**, 266th Finance Command and agree to hold myself accountable to the United States for all public funds received. I have been counseled as to my pecuniary liability, given Standing Operating Procedures, and had all my questions relating to this appointment answered satisfactorily.

\_\_\_\_\_  
(Agent's Printed Name)\_\_\_\_\_  
(Rank and Branch)\_\_\_\_\_  
(Title)

## ENCLOSURE #2 (Example SF 44)

Example of SF 44

U.S. GOVERNMENT PURCHASE ORDER-INVOICE-VOUCHER			
DATE OF ORDER	Date Paid	ORDER NO	1
PRINT NAME AND ADDRESS OF SELLER (Number, Street, City, and State)* P A Y E E Seller's name and address			
FURNISH SUPPLIES OR SERVICES TO (Name and address)* Purchasing unit's name and address			
SUPPLIES OR SERVICES	QUANTITY	UNIT PRICE	AMOUNT
Items must be itemized or the itemized invoice must be attached			
hammer	2	2	\$4.00
nails	6	0.1	\$0.60
Amounts should be listed in the applicable currency terms EURO or US			
AGENCY NAME AND BILLING ADDRESS * Finance Office name and address			TOTAL \$4.60 EURO or US
DISCOUNT TERMS % ..... DAYS			
DATE INVOICE RECEIVED			
ORDERED BY (Signature and title) FOO's signature and title			
PURPOSE AND ACCOUNTING DAT. Accounting Classification from PRC			
PURCHASER- To sign below for over-the-counter delivery of items			
RECEIVED BY Authorized Receiver Signature			
TITLE		Self expl	DATE date rec
SELLER- Please read instructions on Copy 2			
PAYMENT <input type="checkbox"/> RECEIVED \$.....		PAYMENT <input type="checkbox"/> REQUESTED \$.....	
NO FURTHER INVOICE NEED BE SUBMITTED			
SELLER BY.....sellers signature..... (Signature)		DATE date sold	
I certify that this account is correct and proper for payment in the amount of \$.....		DIFFERENCES	
(Authorized certifying officer)		ACCOUNT VERIFIED CORRECT FOR	
PAID BY OR..... (Check No)		DATE PAID	
VOUCHER NO			
* PLEASE INCLUDE ZIP CODE			
1 SELLERS INVOICE STANDARD FORM 44a (Rev. 10-83) PRESCRIBED BY GSA (See Instructions on Copy 2) FAR (48 CFR) 53.213(c)			

Increment by one for each SF44

Paing Agent ensures totals

amount of payment

Class A Agent fills out and signs

Put the exchange rate if applicable.  
List the US value

## ENCLOSURE #3 (Example Paying Agents Ledger)

Date	Transaction	Vouchers	Conversions	FC@.1210	FC@1.1152	U.S. Balance
24-May-02	Advance					\$ 12,500.00
25-May-02	Exchange \$\$ for FC		(S89.21)	FC 100		\$ 12,410.79
26-May-02	Exchange \$\$ for FC		(\$179.34)		FC 200	\$ 12,231.45
27-May	FC purchase SF44 #1	FC 214.26		FC 0.00	FC 85.74	\$ 12,231.45
28-May	Sell FC for \$: SF44#2	\$ 3.80	\$73.08		FC 0.00	\$12,304.53



REPLY TO  
ATTENTION OF

**DEPARTMENT OF THE ARMY**  
Headquarters, 23rd Air Defense Artillery Brigade  
Camp Victory, Iraq  
APO AE 09342

FICI-AD-B

28 March 2005

**MEMORANDUM FOR RECORD**

**SUBJECT:** Project Purchasing Officer Appointment

1. The following individual is appointed as Project Purchasing Officer.
  - a. NAME: Orville Wright
  - b. RANK: SFC
  - c. SSN: 123-45-6789
  - d. UNIT: Alpha Battery, 2-89 Air Defense Artillery Battalion
2. The individual will receive PPO training from the Consolidated Contracting Office prior to executing duties as the Project Purchasing Officer.
3. The Project Purchasing Officer duty is to procure CERP funds condolence payments to the families of Najaf killed during U.S. Operations.
4. This appointment will remain effective from 28 March 2005 until the 23<sup>rd</sup> ADA Brigade completes its mission and deploys back to home station.
5. Point of contact for this action is the undersigned and can be reached at DSN 839-4395.

Richie Rich  
COL, AD  
Commanding



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**HEADQUARTERS**  
**MULTI-NATIONAL FORCES - IRAQ**  
**JOINT CONTRACTING COMMAND-**  
**IRAQ/AFGHANISTAN**  
**BAGHDAD, IRAQ**  
**APO AE 09342**



April 2006

SUBJECT: Acquisition Instructions For Project Purchasing Officers

1. **PURPOSE.** The purpose of this Acquisition Instruction for Purchasing Officers is to consolidate the laws and policies found in the FAR, DFAR, AFAR, and AFAR Manual No. 2, MNF-I FRAGO 87, MNC-I FRAGO 845.
2. **STANDARDS OF CONDUCT.** Reference: DoD 5500.7-R, *Joint Ethics Regulation*. Because of the sensitivity of spending the American taxpayers' money and the potential conflicting business and cultural standards in the theater of operation, misunderstanding and appearance of impropriety is greatly heightened. Purchasing Officers' conduct and behavior shall be above reproach. Purchasing Officers shall not solicit or accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan, or anything of monetary value from any vendor or contractor.
3. **ROLE OF A PROJECT PURCHASING OFFICER.** Project Purchasing Officers (PPOs) are an extension of the Contracting Office and are only authorized to spend appropriated CERP funds. Field Ordering Officers should be appointed if the spending of OMA funds are required. A Contracting Officer delegates the authority to obligate the Government to the PPO. They play a vital role in purchasing goods and services that will assist commanders in providing urgent humanitarian relief that will immediately assist the Iraqi people. When contracting for services, the PPO should employ as many Iraqi people as possible for completing the CERP projects. They can quickly and directly make purchases at or under \$200K from local vendors and contractors. Only Contracting Officers and their authorized agents (e.g., PPOs) can obligate the Government to pay for an item or service.
4. **NOMINATION.** A PPO is nominated by a Commander (O-5 and above) and appointed by a Warranted Contracting Officer. Only

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Government personnel can be appointed as PPOs and should be the rank of E-6 or higher. PPOs may not hold additional duties of Paying Agent, Property Book Officer, or Property Accountable Officers.

**5. PROHIBITED PURCHASES.** When in doubt, call Contracting and/or MNC-I C8. Purchasing any of the below items will result in immediate procurement authority termination. You are not authorized to obligate Government funds for the following:

A. Rewards. OMA funds will be used to pay rewards for information leading to the seizure of weapons or information regarding wanted personnel.

B. Direct or indirect support of coalition or other supporting forces: Do not use CERP funds to purchase items that will have any benefit to coalition or other supporting forces. An example of "other supporting forces" is the Iraqi Security Police (ISF). MNSTC-I will provide Quick Reactionary Funds for ISF support.

C. Entertainment of Iraqi people.

D. Weapon buy-back program. Do NOT use CERP funds for any type of weapon buy-back program. In addition, CERP funds will not be used to facilitate the removal of captured enemy ammunition or unexploded ordnance for any purpose.

E. Firearms or ammunition.

F. Duplicating services available through Iraqi municipal governments.

G. Salaries. Do NOT use CERP funds to pay for salaries or pensions to the civil Iraqi work force funded directly by the Iraqi ministries or local governments. The only acceptable "salary" authorized is if Iraqi workers were hired for a specific job, i.e. trash pick up.

H. Anything over \$200K. Warranted contracted officers must negotiate and award contracts for over \$200,000; this limit is \$100,000 in MND-N.

## **6. PURCHASING OFFICER LIABILITIES**

Reference: Appendix G, AFARS manual No. 2

A. Pecuniary and Legal Liability. You may be held pecuniary (financially) liable, and/or could face UCMJ action, for making purchases prohibited by your PPO appointment and these acquisition instructions. You are responsible for informing your Commander of the extent and limitations of your authority. If in doubt, see a contracting officer before you make an SF 44 purchase.

B. Loss of accountability of SF44s. The PPO must be aware that the SF 44 is a direct draft upon the U.S. Treasury and may be accepted by vendors without further proof of authority to execute. Therefore, the PPO must safeguard all SF 44s or risk being held accountable for those forms presented for payment over the signature of someone other than the PPO.

## **8. FUNDING**

Reference: AFARS Part 5113.306

A. Funding is established by submitting a DA Form 3953, Purchase Request and Commitment (PR&C). A separate PR&C will be used to pay for each project, regardless of amount.

B. BULK FUNDS ARE PROHIBITED EXCEPT TO PAY FOR CONDOLENCE OR BATTLE DAMAGE PAYMENTS.

C. The PPO must ensure that they do not exceed the monetary limitation listed on the DA Form 3953.

D. Payments to individuals is strictly prohibited, with the exception of condolence or battle damage payments. Payments should include the name of the recipient, date of incident, city or governate where incident occurred, and a detailed description of the extent of the incident. (The details should be in memo format signed by the brigade or division commander as backup to the payment.)

## **9. RATIFICATION.**

A. **Improper Procurements and Unauthorized Commitments.** Ratification is the process of approving an improper procurement or an unauthorized commitment. Improper procurement is a purchase that exceeds the PPO's authority (i.e. an PPO making a purchase for more than \$200K or for a prohibited item). An Unauthorized Commitment is obligating funds in excess of the available amount, which is a violation of The Anti-Deficiency Act. Ratification is a long, painful process, and not all ratifications result in approval (which means the PPO/Paying Agent may have to personally pay for the purchase). Note that unauthorized purchase on an SF 44 cannot be ratified if the purchase was something that could not have been made by a Warranted Contracting Officer.

B. **Ratification Process.** Ratification is accomplished using ARCENT Form 121-R. This eight-page form requires input from the PPO, his supervisor, his unit commander, his first O-6 level commander (or higher depending on amount of purchase), legal review by attorney, and the Contracting Officer (or higher level Contracting Official, depending on amount of purchase). Should ratification be necessary, the Contracting Officer will explain the process in more detail.

#### 10. PROJECT PURCHASING OFFICER TASKS AND RESPONSIBILITIES.

Reference: Appendix G, AFARS Manual No. 2

A. The PPO must:

- 1) Comply strictly with all provisions of the appointment letter and acquisition instructions.
- 2) Follow standards of conduct as prescribed in DoDD 5500.7-R, *Joint Ethics Regulation*.
- 3) Not redelegate the contracting authority of a PPO.
- 3) Receive requirement(s) from the unit commander.
- 4) Ensure the requirement is clear to requiring unit as well as to a vendor; Find vendor; Inspect item/service for quality.
- 5) Determine fair and reasonable price.
- 6) Prepare the Standard Form 44; sign with pay roll signature; Title, "Purchasing Officer."
- 7) Execute purchase and ensure the Pay Agent pays the correct amount.
- 8) Detach Copy 2 (blue copy) and give to the vendor.
- 9) If available, obtain a receipt from the vendor.

- 10) Deliver item(s) to the requiring unit and have the receiver sign on Copy 1 (white copy).
- 11) Detach Copy 1 (white copy) and Copy 3 (pink copy) and give to Paying Agent.
- 12) Maintain Copy 4 (green copy) of each SF 44 purchase with supporting documents.
- 13) Fill out purchase register; on the inside flap of the SF 44 booklets, Record of Purchases.
- 14) Fill out the backside of DA Form 3953, Record of Funds Remaining.
- 15) Report to the appointing Contracting Officer between the first and tenth of each month to reconcile prior month's SF 44 purchases.
- 16) Report to the contracting officer at the completion of the operation, when all funds are expended, or before you leave theater for SF 44 close-out.
- 17) Obtain one memorandum from the unit commander that supports all SF 44 purchases at the conclusion of your duties as PPO.
- 18) Close-out SF 44s with the appointing Contracting Officer.

**11. PURCHASING OFFICER FOLDER.** PPOs shall maintain an operational file, which will be organized by the below instructions.

- A. Left Side of Folder. Attached from bottom to top.
  - 1) The original DA Form 3953
  - 2) Copy of Pay Agent appointment
  - 3) Funding increases or decreases
  - 4) Backside of DA Form 3953 (filled out as purchases are made)
- B. Right Side of Folder. Attached from bottom to top.
  - 1) Battalion Commander's request for PPO appointment
  - 2) Signed Standards of Conduct Statement and Certification of PPO Training
  - 3) Acquisition Instructions: Purchasing Officer
  - 4) PPO appointment order
  - 5) One memorandum, covers all SF 44 purchases; signed by unit commander
  - 6) Photo copy of the SF 44 Record of Purchases register
  - 7) Copy of monthly DD 1057 Feeder Reports

8) After final reconciliation, PPO termination order

**12. SF 44, PURCHASE ORDER -- INVOICE -- VOUCHER**

Reference: FAR Part 13.306

A. Purpose. The SF 44, Purchase Order -- Invoice -- Voucher, is a multipurpose pocket-size purchase order form designed primarily for on-the-spot, over-the-counter purchases of supplies and non-personal services while away from the purchasing office or at isolated activities. The SF 44 can be used as a receiving report, invoice, and public voucher.

B. Conditions for Use. PPOs are responsible for ensuring that the below conditions are met before making an SF 44 purchase.

- 1) Unit commander deems the purchase as an emergency or mission critical item.
- 2) The amount of the purchase is at or below the purchase threshold of \$200K U.S. dollars (\$100K in MND-N). The requirement shall not be split to avoid this dollar limitation. Purchase requirements exceeding this monetary threshold will be forwarded to the Contracting Office for procurement.
- 3) Sufficient funds are available. A DA Form 3953, Purchase Request and Commitment Form, signed by a budget officer must be in place prior to the PPO entering into any transactions.
- 4) The supplies or services are immediately available from the local trade area.
- 5) Attempt to obtain competing bids for contracts where possible.
- 6) The purchases are rotated among sources of supply when possible.

**13. PREPARATION OF STANDARD FORM 44**

- A. PPO will fill out the SF 44 with a ballpoint pen. Press hard; all copies of the form must be legible.
- B. **Order Identification Number:** The PPO should use the numbers provided by the contracting office and only resort to local numbering if none were provided. In any event the PPO must provide the contracting officer a "Record of Purchases".

- C. **Date of Order:** The date the order is placed.
- D. **Order Number:** SF 44 Booklet Number, which the appointing Contracting Officer assigns and writes on the front cover, and either "A" thru "Y," which the PPO assigns to the order. An example: PIIN, Booklet No., Fifth purchase; (DABM03-03-M-2006-0008).
- E. **Payee or Seller:** Business or trade name and address of the vendor must be correct in order to facilitate payment.
- F. **Furnish Supplies or Services:** Print your activity address.
- G. **Supplies or Services, Quantity and Unit Price:** Completed by the ordering officer. Ensure description is adequate enough that anyone can tell what was purchased.
- H. **Amount, Total and Discount Terms:** All transactions shall be in U.S. Dollars. Must be completed prior to the signature of the PPO. Enter the word "NET" in the "Discount Terms" block.
- I. **Date Invoice Received:** The date of receipt by the PPO of the properly signed Seller's Invoice (Copy 1).
- J. **Agency Name and Billing Address:** The address for the finance and accounting office supporting your command.
- K. **Ordered By:** The title ("PPO") and signature of the PPO will be used on all copies of the form.
- L. **Purpose and Accounting Data:** The fund cite shown on the DA Form 3953 will be written out in full in this block. Write legibly!
- M. **Received By:** When the delivery or pickup is made, the receiving officer (never the PPO or PA) will complete this information.
- N. **Seller:** The seller/vendor signs and dates all copies of the form on the date payment was received by the seller. Seller checks the "Payment Received" block. If the vendor refuses to sign, write "Vendor Refuses To Sign" in the seller's signature block.
- O. All other spaces are reserved for finance and accounting office use.

#### 14. DISTRIBUTION OF STANDARD FORM 44

- A. **Copy 1 (White) (Seller's Invoice):** The PPO, Seller, Pay Agent, and Receiver sign Copy 1. After the receiver signs for the items on Copy 1, Copy 1 is detached and given directly to the Pay Agent. The Pay Agent retains Copy 1 for finance reconciliation.

- B. **Copy 2 (Blue) (Seller's Copy of Invoice)** will be given to the vendor at the time of purchase.
- C. **Copy 3 (Pink) (Receiving Report - Accounting Copy)**. After the receiver signs for the items on Copy 1, Copy 3 is detached and given directly to the Pay Agent. The Pay Agent retains Copy 3 for finance reconciliation.
- D. **Copy 4 (Green) (Memorandum Copy)** will be retained by the PPO and submitted to a Contracting Officer for SF 44 reconciliation.

#### 15. RECORD OF PURCHASES BY THE PROJECT PURCHASING OFFICER

A. **Record of Purchases.** The PPO will maintain a record of purchases made in register format on the inside flap of the SF 44 booklet. The register will show as a minimum, order number, name of contractor, date of purchase, and total cost of the transaction.

B. **Record of Funds.** The PPO will also maintain a record of funds remaining available to him/her on the back of the DA Form 3953. This will be maintained in checkbook register style, with each entry being subtracted and a running balance maintained at all times.

#### 16. LOST OR STOLEN SF 44s

- A. PPO immediately informs the Contracting Officer via telephone and followed by a written statement on the lost or stolen SF 44s.
- B. The Contract Officer notifies Security, Commander, and Finance Officer
- C. If lost SF 44s are found, take statement from the individual returning the lost SF 44s.
- D. If Copy 1 (white) is lost after a purchase has been made, the PPO and class A agent must recreate the paperwork by submitting a memorandum for record stating the circumstances, dollar amount, and purchase order number.
- E. If the PPO loses Copy 4 (green), photocopies of Copy 1 (white) must be obtained.

#### 17. CLEARING PROCEDURES

- a. PPO and Paying Agents will reconcile and clear their accounts with the Finance and Accounting Office, Comptroller, and their Brigade or Division Commander. Completed projects must be reconciled and cleared in a timely manner.
- b. A letter from an O5 or higher in a position of command must justify expenditures and authorization for payments. Commanders are required to review all SF44's with supporting documentation. After review, the Commander will issue a clearance letter stating: "I have reviewed and approved the projects, and they are complete and adhere to the guidelines set forth in the MNF-I FRAGO 087".
- c. The Paying Agent will provide a copy of the initial and closing DD Form 1081 to the unit Comptroller. The DD Form 1081 must reference the document number recorded on the Purchase Request and Commitment Form (DA Form 3953). The Paying Agent is advanced funds on a Statement of Agent Officer's Account (DD Form 1081) that is initiated by the Finance and Accounting Office.
- d. PPO and Paying Agent will also provide the Comptroller with a copy of all Purchase Order-Invoice-Vouchers (SF44s) and all supporting documentation. Each SF44 must have the vendor's invoice/bill attached and a copy of the contract, if applicable.

Each SF44 must be complete to include a detailed description of supplies and/or services received. The "Ordered By" section of the form will include the signature of the PPO and the title "Project Purchasing Officer". The Receiver of the goods or services will sign in the "Received By" block and include their position title.

(NOTE: The Receiver of the goods or services will be an individual other than the Paying Agent or the PPO). The Paying Agent will insert the dollar value of the goods or services and sign the SF44 immediately after the certification statement—"I certify that this account is correct and proper for payment in the amount of".

The vendor must sign the SF44 for the receipt of payment. The documentation supporting copy of contract, and any other justification (memorandum for record, legal opinion,

ect.) to support the project should be provided to the comptrollers and included in the project file.

- e. After receiving DD Form 1081 and all SF44's with supporting documentation, and commander's clearance letter the Comptroller must provide a clearance letter stating: "The following SF 44's are cleared, contractually sufficient, and within the scope of the appointed authority".

**18. TERMINATION FOR OTHER THAN CLOSE OUT**

- A. By the request of the commander who initiated the appointment
- B. As a result of making unauthorized purchases or other misconduct
- C. The Contracting Officer may terminate a PPO without the concurrence of the requesting command.

SUBJECT: Project Purchasing Officer Appointment Acknowledgement

1. I, Rank: \_\_\_\_\_ Name: \_\_\_\_\_ SSN: \_\_\_\_\_, certify that I have been briefed and understand my duties and responsibilities as an Ordering Officer for Unit: \_\_\_\_\_. I understand the Standards of Conduct found in DoDD 5500.7-R, Joint Ethics Regulation.
2. I will place loyalty to country, ethical principles, and law above private gain and other interests and perform my duties in keeping with the highest tradition of the military and civilian service to the U.S. Government.
3. I will avoid engaging in any personal business or professional activity or have or retain any direct or indirect financial interest which places me in a position in which there is a conflict or the appearance of a conflict between my private interests and the public interest of the United States as it relates to my duties and responsibilities as Department of the Army government personnel.
4. I will accept no gifts or gratuities from those that have or seek business with the DOD or from those whose business interests are affected by DOD functions.
5. I hereby acknowledge receipt of an Ordering Officer Appointment.

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_



REPLY TO  
ATTENTION OF

**DEPARTMENT OF THE ARMY**  
Headquarters, 23rd Air Defense Artillery Brigade  
Camp Victory, Iraq  
APO AE 09342

FICI-AD-B

21 April 2005

**MEMORANDUM FOR RECORD**

**SUBJECT:** Clearance of Commander's Emergency Response Program (CERP)  
Purchases for the 23rd Air Defense Artillery

1. Under the provisions of MNC-I Regulations for CERP, I certify that all funds expended to date and remaining for APF2AD50170674 were paid in accordance with MNC-I Regulations.
2. APF2AD50170674 was approved for \$90,900 on 17 Jan 05. The attached SF 44's (1034's) validate that we have paid out \$24,458.00 and have \$66,442.00 remaining to return to the Division Disbursing Officer.
2. POC for this memo is SFC Samuel Adams, 2AD Project Purchasing Officer, e-mail address DSN: 839-4395.

ROBERT G. SHAW  
COL, AD  
Commanding



REPLY TO  
ATTENTION OF

**HEADQUARTERS**  
**MAJOR SUBORDINATE COMMAND**  
**LOCATION, IRAQ**  
**APO AE 00000**

OFFICE SYMBOL

31 March 2005

MEMORANDUM THRU C-8, Multi-National Corps – Iraq

MEMORANDUM FOR Commanding General, Multi-National Corps - Iraq

SUBJECT: Commander's Monthly CERP Status of Funds Report

1. CERP Status of Funds Report for end of month March 2005:

TYPE OF CERP FUNDING	CUMULATIVE FUNDS ALLOCATED	CUMULATIVE FUNDS COMMITTED	CUMULATIVE FUNDS OBLIGATED	CUMULATIVE FUNDS DISBURSED
SEIZED CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
DFI CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
FY 04 APF CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
FY 05 APF CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
IIG-1 CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
IIG-2 CERP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
CHRRP	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00	\$1,000,000.00
<b>TOTAL</b>	<b>\$7,000,000.00</b>	<b>\$7,000,000.00</b>	<b>\$7,000,000.00</b>	<b>\$7,000,000.00</b>

2. CERP Challenges or Issues.

3. I have verified that all controls and procedures were followed, and the unit is exercising appropriate fiscal oversight in accordance with MNC-I fragmentary orders and command guidance. In addition, I certify the monthly status of funds report as true and accurate.

4. The Point of Contact for this memorandum is MAJ John Smith, MND-Z CERP Program Manager, DNV 222-2222.

ROBERT E. LEE  
Major General, USA  
Commanding

Contracting office that will be working the requirement (>\$200K)  
Finance office that will be issuing funds (<\$200K)

Date prepared

Put resource management office (i.e. 3 <sup>rd</sup> ID)	
For Sep BDE put C8 Resource management “Camp Victory Iraq”	

Phone number for POC

Unit POC rank,  
name, and e-mail

Fund cite  
(provided by comptroller)

Signature of  
certifying officer

Signature block for  
certifying officer

PURCHASE REQUEST AND COMMITMENT		1. PURCHASE INSTRUMENT NO.		2. REQUISITION NO.		3. DATE		PAGE OF PAGES	
4. TO:		5. THRU:		6. FROM:		7. PURCHASE FOR		9. NO LATER THAN (Date)	
It is requested that the supplies and services enumerated below or on attached list be									
8. DELIVERED TO									
The supplies and services listed below cannot be secured through normal supply channels or other Army supply channels and are being procured through the purchase of stock, therefore, local procurement is necessary for the following reason: (Check appropriate box and complete item.)									
12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY		13. REQUISITIONING DISCLOSES UNAVAILABLE ABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY							
14. ITEM		15. DESCRIPTION OF SUPPLY OR SERVICES		16. QUANTITY		17. UNIT		18. ESTIMATED	
								UNIT PRICE <sup>2</sup> TOTAL COST <sup>5</sup>	
EMERGENCY SITUATION PRECLUDES USE OF REQUISITION CHANNELS FOR SECURING ITEM									
19. ACCOUNTING CLASSIFICATION AND AMOUNT									
20. TYPED NAME AND TITLE OF CERTIFYING OFFICER									
21. SIGNATURE									
22. DATE									
23. DISCOUNT TERMS									
24. PURCHASE ORDER NUMBER									
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE									
26. DELIVERY REQUIREMENTS ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES YES <input type="checkbox"/> NO <input type="checkbox"/>									
27. TYPED NAME AND GRADE OF INITIATING OFFICER									
28. SIGNATURE									
29. DATE									
30. TELEPHONE NUMBER									
31. TYPED NAME AND GRADE OF SUPPLY OFFICER									
32. SIGNATURE									
33. DATE									
34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
35. SIGNATURE									
36. DATE									
37. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
38. SIGNATURE									
39. DATE									
40. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
41. SIGNATURE									
42. DATE									
43. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
44. SIGNATURE									
45. DATE									
46. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
47. SIGNATURE									
48. DATE									
49. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
50. SIGNATURE									
51. DATE									
52. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
53. SIGNATURE									
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59. SIGNATURE									
60. DATE									
61. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
62. SIGNATURE									
63. DATE									
64. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE									
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146									

Signature of approving officer

Signature block of approving officer  
Requires 0-6 signature

Total price of requirement

Signature of initiating officer

Complete description of item or service requested

The specific purpose for the requirement

Signature block  
of initiating officer

Phone number of initiating officer

DATE OF ORDER		ORDER NO.	MS-00#-Serial #	
PRINT NAME AND ADDRESS OF SELLER		(Number, Street, City, and State)★		
Seller's Name				
Seller's Address				
FURNISH SUPPLIES OR SERVICES TO		(Name and Address)★		
Name and Address of TF or Operation				
SUPPLIES OR SERVICES	QUANTITY	UNIT PRICE	AMOUNT	
List of all items ordered	QTY	Unit\$	Total	
Use continuation sheet if necessary				
Exchange Rate				
XX Local \$\$=1 US\$				
AGENCY NAME AND BILLING ADDRESS ★			to in US\$	
DFAS-OR/FPV			DISCOUNT TERMS	
PO Box 934400			If applicable	
3500 Leahy Avenue			DATE INVOICE RECEIVED	
Orlando, FL 32893-4400			NA	
ORDERED BY (Signature and title)				
Signature and Title of Ordering Officer				
PURPOSE AND ACCOUNTING DATA				
From Block 19 of PR&C				
RECEIVED BY				
Signature and Receiving Officer (may be the paying agent)				
TITLE			DATE Rec'd	
SELLER - Please read instructions on Copy 2				
<input type="checkbox"/> PAYMENT REQUESTED	<input type="checkbox"/> PAYMENT REQUESTED \$			
NO FURTHER INVOICE NEED BE SUBMITTED				
SELLER			DATE	
Vendor's Signature (Signature)				
Differences				
ACCOUNT VERIFIED:				
BY			VOUCHER NO.	
PAID BY	DATE PAID			
OR	CASH			
* PLEASE INCLUDE ZIP CODE				
1. SELLER'S INVOICE				
(See instructions on Copy 2)				

**Depends on  
currency being  
carried by  
Paying Agent**

## Attempt to get Vendor's Signature

Always get a receipt  
of invoice indicating  
payment has been  
made

**Must be In US\$; use exchange rate to determine (Pay Agent)**



REPLY TO  
ATTENTION OF

**HEADQUARTERS**  
MULTI-NATIONAL CORPS - IRAQ  
BAGHDAD, IRAQ  
APO AE 09342

MNC-I-C-8

5 September 2005

MEMORANDUM FOR:

SUBJECT: Required documentation for completed Commander's Emergency Response Fund (CERP) Files

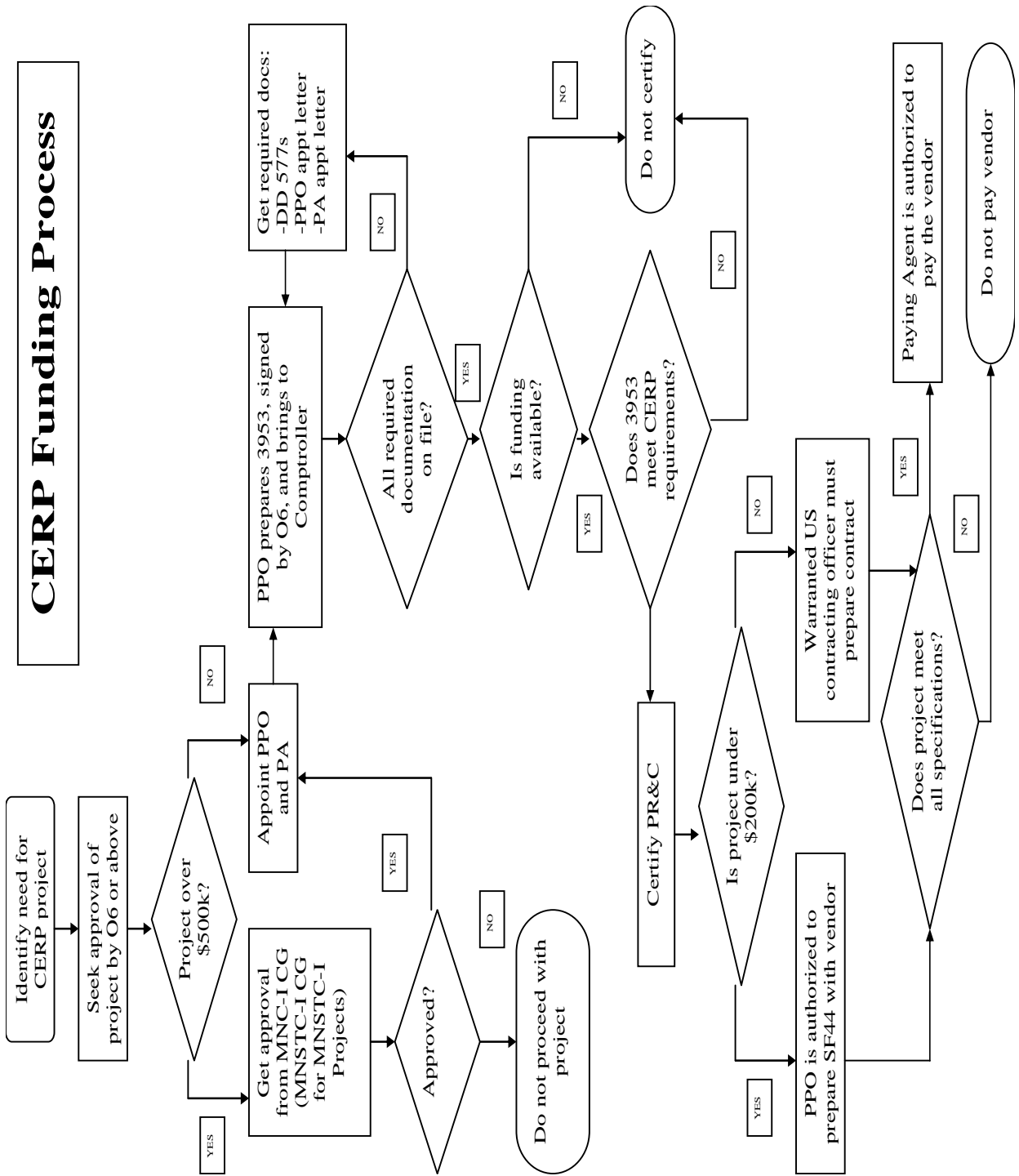
1. Below is the checklist required by MNC-I C8 prior to handing over completed CERP files to the CERP Program Office. These documents must be provided with each file.

- \_\_\_\_\_ Copy of SF 44(s) and/or SF 1449(s).
- \_\_\_\_\_ Copy of DA3953/DD1149.
- \_\_\_\_\_ Copy of DD Form 250 Receiving report (if contact used).
- \_\_\_\_\_ Invoice from vendor (if provided).
- \_\_\_\_\_ Project proposal or statement of work.
- \_\_\_\_\_ Copy of DD Form 577, Signature Card of both project purchasing officer and paying agent.
- \_\_\_\_\_ Project Purchasing Officer appointment letter.
- \_\_\_\_\_ Paying Agent appointment letter.
- \_\_\_\_\_ Copy of DD Form 1081 marked ON ADVANCE.
- \_\_\_\_\_ Copy of DD Form 1081 marked ON RETURN.
- \_\_\_\_\_ Commander's clearance memorandum.
- \_\_\_\_\_ MSC Comptroller clearance memorandum.
- \_\_\_\_\_ Complete copy of contract (for projects over \$200,000.00 or CHRRP over \$2,500).

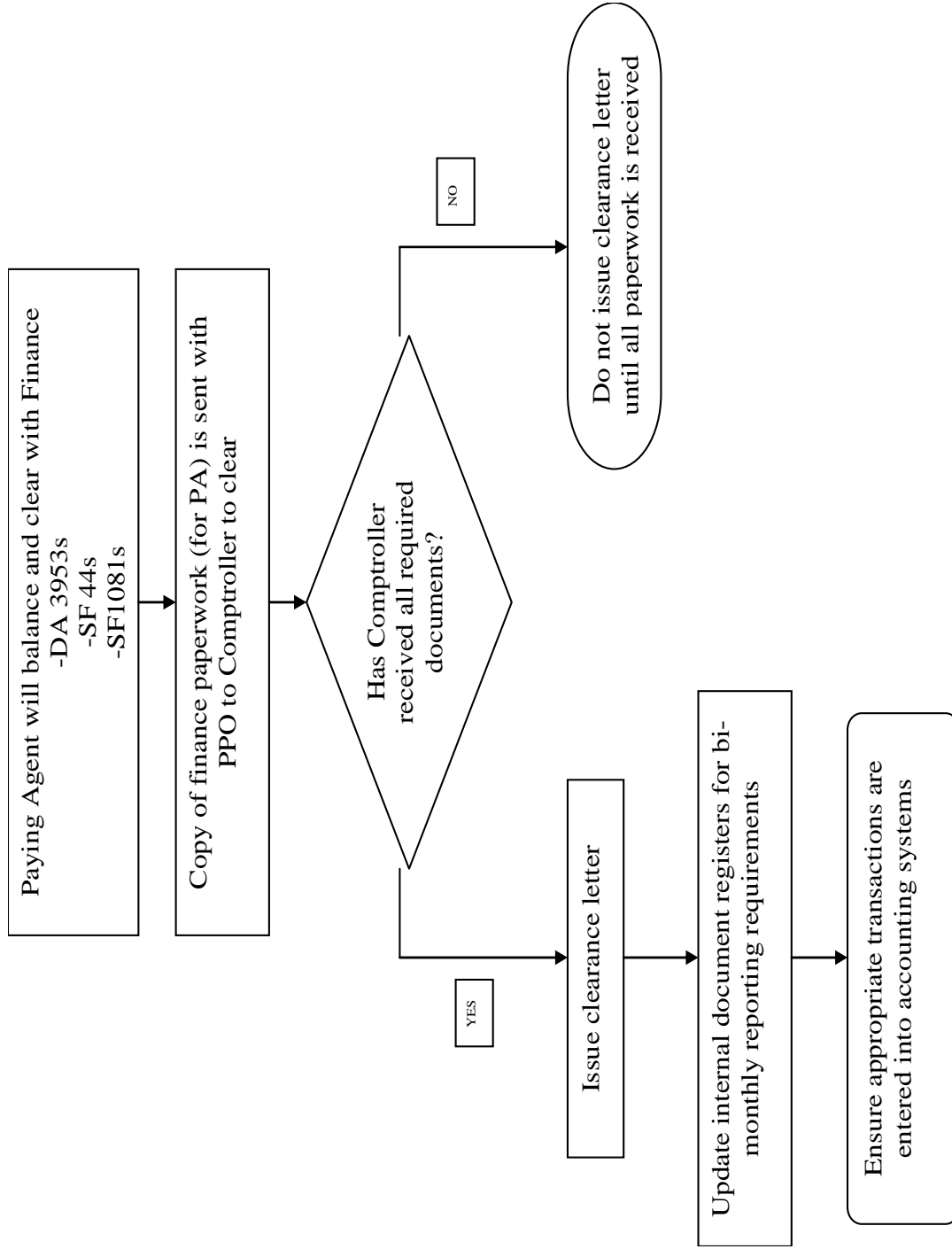
2. Please send all requested documentation to paul.davis@iraq.centcom.mil. If you have any questions please call me at (318) 822-3285. Thank you in advance for your assistance.

//SIGNED//  
PAUL DAVIS, SSgt, USAF  
MNC-I, C8 Resource Management

# CERP Funding Process



# CERP Flowing Process



**APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE***(Read Privacy Act Statement and Instructions before completing form.)***PRIVACY ACT STATEMENT**

**AUTHORITY:** E.O. 9397, 31 U.S.C. §§ 3325, 3528, DoD Financial Management Regulation, Vol. 5, Chapter 33, and DoDD 7000.15, DoD Accountable Officials and Certifying Officers.

**PRINCIPAL PURPOSE(S):** To maintain a record of certifying and accountable officers' appointments, and termination of those appointments. The information will also be used for identification purposes associated with certification of documents and/or liability of public records and funds.

**ROUTINE USE(S):** The information on this form may be disclosed as generally permitted under 5 U.S.C. § 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the the Federal Reserve banks to verify authority of the accountable individual to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published in the Federal Register.

**DISCLOSURE:** Voluntary; however, failure to provide the requested information may preclude appointment.

**SECTION I - FROM: COMMANDER/APPOINTING AUTHORITY**

1. NAME <i>(First, Middle Initial, Last)</i>	2. TITLE	3. DOD COMPONENT/ORGANIZATION
4. DATE <i>(YYYYMMDD)</i>	5. SIGNATURE	

**SECTION II - TO: APPOINTEE**

6. NAME <i>(First, Middle Initial, Last)</i>	7. SSN	8. TITLE
9. DOD COMPONENT/ORGANIZATION	10. ADDRESS <i>(Include ZIP Code)</i>	
11. TELEPHONE NUMBER <i>(Include Area Code)</i>	12. EFFECTIVE DATE OF APPOINTMENT <i>(YYYYMMDD)</i>	
13. POSITION TO WHICH APPOINTED <i>(X one)</i> <input type="checkbox"/> CERTIFYING OFFICER <input type="checkbox"/> ACCOUNTABLE OFFICIAL <input type="checkbox"/> OTHER <i>(Specify)</i>		

14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY SHOWN ABOVE. YOUR RESPONSIBILITIES WILL INCLUDE:

15. YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED:

DoDFMR, Vol. 5, chapter 33;

**SECTION III - ACKNOWLEDGEMENT OF APPOINTMENT**

I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that my official signature is shown in the box below.

16. PRINTED NAME <i>(First, Middle Initial, Last)</i>	17. SIGNATURE
-------------------------------------------------------	---------------

**SECTION IV - TERMINATION OF APPOINTMENT**

<input type="checkbox"/>	The appointment of the individual named above is hereby revoked.	18. EFFECTIVE DATE <i>(YYYYMMDD)</i>	19. APPOINTEE INITIALS
20. NAME OF COMMANDER/APPOINTING AUTHORITY	21. TITLE	22. SIGNATURE	

**INSTRUCTIONS FOR COMPLETING  
APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE**

This form may be used to:

1. Appoint certifying officers. Certifying officers are those individuals, military or civilian, designated to attest to the correctness of statements, facts, accounts, and amounts appearing on a voucher for payment.
2. Appoint accountable officials. Accountable officials are those individuals, military or civilian, who are designated in writing and are not otherwise accountable under applicable law, who provide source information, data or service to a certifying or disbursing officer in support of the payment process.

**SECTION I.**

1. Enter the name of the Commander/Appointing Authority.
2. Enter the Commander/Appointing Authority's title.
3. Enter the Commander/Appointing Authority's DoD Component/Organization location.
4. Enter the date the form is completed.
5. The Commander/Appointing Authority must place his or her legal signature in the block provided.

**SECTION II.**

6. Enter the Appointee's name.
7. Enter the Appointee's social security number.
8. Enter the Appointee's title.
9. - 11. Enter the name, complete address, and telephone number of the DoD Component/Organization activity to which appointed.
12. Enter the date the appointment is to be effective.
13. Mark X in the appropriate box indicating the purpose for the appointment.
14. Describe in detail the duties the Appointee will be required to perform, to include types of payments, records and vouchers for which authorized (specifying the applicable disbursing station symbol number(s) affected), and any other pertinent information.
15. List all regulations the Appointee must review and follow in order to adequately fulfill the requirements of the appointment.

**SECTION III.**

16. - 17. The Appointee shall print his or her name and enter his or her legal signature in the spaces provided.

**SECTION IV.**

Completing this section will terminate the original appointment as of the effective date. If partial authority is to be retained, a new DD Form 577 must be completed.

Mark X in the box provided to indicate the appointment is being revoked.

18. Enter the date the termination is effective.
19. The Appointee will initial in the space provided acknowledging revocation of the appointment.
20. - 22. The Commander/Appointing Authority must place his or her name, title and legal signature in the spaces provided.

10 May 05

## **REQUEST FOR INCREASE OF FUNDS**

### **PR&C/Account classification:**

**2142220 0 00000 76 2084 P13619800 26EB 83ABVC MNCIC851310100  
ABVC83 S09076**

### **Requiring Unit: CJOSTF**

#### **Basic Reason:**

The original funding amount of the PR&C was \$50,000.00. The customer did the estimate to renovate the hospital over 5 months ago and the costs of labor, transportation, materials and security have all escalated since the original estimate. An increase of \$10,000.00 is required to procure this service.

- Total funds originally allocated **\$50,000.00**
- Increase of **\$10,000.00**
- Total of new funding amount is **\$60,000.00**

**Robert T. Hudds, SFC, USA  
CJSOTF-AP Contracting Officer  
Signature of Requestor**

**Johnny A. Woods  
CPT, FI  
CERP Comptroller  
Signature of Certifying Officer**

## MNC-I CERP REQUEST PACKET CHECKLIST

The purpose of this checklist is to ensure that proper actions have been taken prior to submitting MNC-I Approval Packets, thereby decreasing the amount of time from submittal to approval and provide clear expectations on projects submitted. Projects requiring MNC-I Approval are all projects greater than \$500,000 and MNF-I MSC's not under MNC-I projects.

Project Title \_\_\_\_\_

Point of Contact \_\_\_\_\_

Location \_\_\_\_\_

Estimated Cost \_\_\_\_\_

Package contains:

- \_\_\_\_\_ - Justification Letter
- \_\_\_\_\_ - Endorsement by Command Group
- \_\_\_\_\_ - DA Form 3953, Purchase Request and Commitment
- \_\_\_\_\_ - Scope of Work/Bill of Quantities
- \_\_\_\_\_ - Cost Estimate
- \_\_\_\_\_ - Supporting Diagrams, Maps, Correspondence if required
- \_\_\_\_\_ - Memorandum of concurrence from MND, if non battle space owner

\_\_\_\_\_ Justification Letter includes:

- Purpose
- Justification
- Coordination
- Goods and Services
- Performance Period
- Location (Province, District, City, Grid)
- Employment
- Estimated Cost
- Impact if not funded
- POC

MEMORANDUM FOR Commander, Multi-National Corps - Iraq

SUBJECT: Letter of Justification for CERP *Project Title*.

1. PURPOSE: This should be a short description of the project and where the project is located.
2. JUSTIFICATION: The justification should give a synopsis of what the project will do, how it will benefit the local population and how it will support coalition desired effects. Justification should clearly articulate how the project meets the URGENT AND IMMEDIATE HUMANITARIAN RELIEF standard for CERP projects and the category the project falls within.
3. COORDINATION: All projects must be coordinated with the proper GOI entities and the coordination that has taken place should be listed here. The outcome of the coordination and anything that the local government has committed to accomplish with respect to the project should also be included. This section should also include a summary of the plan to transition the project as well as the operations and maintenance to Iraqi officials.
4. GOODS AND SERVICES: This should list all requirements placed on the contractor in order to complete the project. If a detailed scope of work or bill of goods is attached, reference it here.
5. PERFORMANCE PERIOD: This should give the timetable for execution of the project and the number of local Iraqis that will be employed for the duration of the project.
6. LOCATION: Include Province, District, City and an 8 digit grid coordinate (MGRS) if applicable.
7. EMPLOYMENT: List the number of people employed during the performance period (short term) and the number employed after completion (long term).
8. PROJECTED COST: Estimated cost of the project.
9. IMPACT IF NOT FUNDED: Possible negative outcomes if the project is not funded.
10. POINT OF CONTACT: All contact information of the individual who will answer questions that arise during the staffing process.

MEMORANDUM FOR Commander, Multi-National Corps - Iraq

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10. POINT OF CONTACT: All contact information of the individual who will answer questions that arise during the staffing process.

JOHN Q. PUBLIC  
COL, IN  
Commanding

## Enclosure 12 to the CERP SOP – IRMS Benchmarks &amp; Sectors

**BUILDINGS**

- Public/ Municipal Buildings
- Misc Structures

**HEALTH**

- Primary Health Centers/Clinics
- Health Programs & Equipment
- Hospitals
- Misc Facilities
- Capacity Building
- Spare Part Replenishment
- Infrastructure Security
- Sustainment (O&M)
- None

**EDUCATION**

- School Facilities
- Education Programs & Equipment
- Misc Facilities

**TRANSPORTATION**

- Village Roads
- Expressways
- Bridges
- Airports
- Ports
- Railroad Stations
- Transportation (Other)
- Vocational Training
- Transition Initiatives
- Technical Assistance
- Local Government Assistance

**COMMUNICATION**

- Postal Facilities
- Communications Equipment
- Outside Plant
- Infrastructure Security

**TRANSITION**

- Vocational Training
- Transition Initiatives
- Technical Assistance
- Local Government Assistance
- Civil Activities, Vehicles & Cleanup

**SECURITY & JUSTICE**

- Border Forts\*
- Points of Entry
- Police Facilities\*
- Fire Facilities
- Courts
- Prisons
- Military Facilities\*
- Misc Facilities
- Capacity Building
- Spare Part Replenishment
- Infrastructure Security

**ELECTRICITY**

- Generation
- Transmission
- Distribution
- Infrastructure Security
- Monitoring and Control
- Capacity Building
- Misc Facilities
- Sustainment (O&M)

**OIL**

- Water Injection Pump Stations
- LPG/LNG Plant Rehab
- Storage/Distribution
- Dedicated Power
- Misc Facilities
- Sustainment (O&M)
- Capacity Building

- Spare Part Replenishment
- Infrastructure Security

**PUBLIC WORKS & WATER**

- Water Treatment
- Water Distribution
- Sewage Treatment (Projects)
- Sewage Distribution
- Water Resources Projects
- Irrigation
- Solid Waste
- Misc Facilities
- Sustainment (O&M)
- Capacity Building
- Spare Part Replenishment
- Infrastructure Security

**PRIVATE SECTOR DEVELOPMENT**

- Food Production
- Agriculture
- Employment Centers/Programs
- Housing Rehabilitation
- Small Business Initiatives
- Financial/ Management Improvements

**Military Operations**

- Condolence Payments
- Battle Damage
- Detainee Payments
- Military Operations\*

\*CERP cannot be used for these sectors

# APPENDIX D

## LOGCAP



Information extracted from "LOGCAP 101"

## **1. Background.**

a. The LOGCAP contract is the single largest contract in Iraq and provides life support services and other Combat Logistics Support to the majority of the Soldiers, Sailors, Airmen, Marines, Civilians, and other contractors in the Iraq AOR. However, while LOGCAP is an ideal for many solutions and many things can be accomplished to a high standard, it is not the best choice for every requirement. The key is to know when to use LOGCAP and when to use direct contracting to satisfy a requirement.

b. The LOGCAP contract is predominantly funded with Operations and Maintenance Army (OMA) funding, although other funds may be placed on the LOGCAP contract if necessary. MNC-I C8 centrally manages LOGCAP funding and is responsible for ensuring that funds are available prior to the initiation of validated work. As stated in appendix H on the Requirements Validation process, validated work has been approved by the command as a legitimate need, it has not necessarily been funded. Many legitimate needs remain unfunded due to constrained funding levels; it is the Comptroller's responsibility to ensure there is a process to get the most important requirements funded first.

b. The principal method for seeking validation of LOGCAP requirements is by following the JARB and JFUB procedures in appendix H. The MNC-I C8 works closely with CFLCC and the LOGCAP Support Office to ensure both validation of requirements and certification of funding prior to initiation of new work.

## **2. Basics of LOGCAP**

a. The LOGCAP Basic (Umbrella) Contract was developed to have a contractor in place, to provide support services for contingency operations given very little notice. The LOGCAP contract provides a variety of services from base camp set-up to Morale, Welfare, and Recreation services. If the service is not in the LOGCAP Contract, then another contractual method or means should be used to get that service.

b. The LOGCAP contract is a services only contract. Under the LOGCAP contract, the contractor cannot provide materials to a unit or be used to circumvent the Army supply system. In other words, the contractor can provide vehicle maintenance services, but may not be used to provide repair parts to an Army unit. In the course of providing the vehicle maintenance services, the contractor can order repair parts that support these services.

c. The LOGCAP program has certain financial limitations. The scope of the current LOGCAP contract is meant to utilize OMA funds for expenses incurred in executing the mission in Iraq. Expenses are defined as those costs incurred to

operate and maintain the organization including services, supplies, and utilities, and in certain cases, minor construction.

d. Investments, on the other hand, are the costs that result in the acquisition of major end items that benefit future periods and generally are needed for long-term usage. Investments are funded with either OPA (Other Procurement, Army) for equipment and MILCON for construction projects. Whenever these types of funds are required, they must be specifically planned and budgeted for in advance. Thus, unless specifically authorized, only work that is considered an "expense" can be performed under the LOGCAP contract. Investment costs will be identified through the requirements validation process and must be specifically identified during the development of the KBR Project Planning Estimate.

e. The Contractor provides products or services for monetary compensation to include a profit. A contractor furnishes supplies, services, or performs work at a certain price or rate based on the terms of a contract. In a military operation, a Contractor may be used to provide life support, construction/engineering support, weapon systems support, and other technical services.

f. The type and quality of support that a contractor provides is similar to that provided by a military support unit, (i.e. COSCOM, Division Engineers, etc.) when considered from a customer perspective. However, there are some fundamental differences between contractors and military personnel.

- Contractors are hired to perform only the tasks specified in the contract. "Other duties as assigned" does not apply in a contract environment.
- Contractors and their employees are not combatants, but civilians accompanying the force. This status must not be jeopardized by the ways in which they provide contracted support. The Government has an obligation to provide them with Force Protection for this reason.
- Contractor status as civilians accompanying the force in a combat environment is clearly defined in the Geneva Conventions and other international agreements. They are generally defined as persons who accompany the armed forces without actually being members thereof, and are responsible for the welfare of the armed forces. They are at risk of injury or death incidental to enemy attacks on military objectives; depending upon their duties, they may be the object of intentional attack. If captured, they are entitled to prisoner of war status.
- Contractor employees are not subject to military law under the Uniform Code of Military Justice (UCMJ) when accompanying US forces, except during a declared war.

### 3. Possible LOGCAP Services.

Under the LOGCAP umbrella contract, the Contractor can provide the following services:

Laundry	Shuttle Bus Services
Food Services	Base Camp Operations and Maint
Class III (fuel)-retail and bulk	Direct Support Equipment Maintenance
Transportation	Air Terminal Services
Fire Fighting Services	Hazardous Waste Management

### 4. Restricted LOGCAP Services.

- ⊘ LOGCAP is **NOT** a supply contract, so the LOGCAP Contractor cannot order equipment and material on behalf of various Government units.
- ⊘ At this time, the LOGCAP Contractor **CANNOT** provide on-going support to a location that has exclusively foreign national soldiers.
- ⊘ In some cases the LOGCAP Contractor can perform low dollar temporary construction. The LOGCAP Contractor **CANNOT** do large scale construction projects. However, the LOGCAP Contractor can also provide emergency assistance to almost anyone or organization if life or limb is in jeopardy.
- ⊘ The LOGCAP Contractor can only do those things specifically described in the contract, its statement of work (SOW), or as directed by the ACO.
- ⊘ You cannot ask the ACO to have the LOGCAP Contractor provide a PPE and then "Shop the PPE" to determine if another Contractor can provide the work some other way, like through the Joint Contracting Command.

## 5. Frequently Asked Questions (FAQ)

a. Who pays for the equipment and material the contractor purchases to perform the service?

- The contractor purchases the material and equipment needed to provide the service and the Government reimburses the contractor.
- The cost for the equipment and material is included in the contractor's cost estimate.
- The unit requesting the service pays, it's included in the overall cost.

b. If the unit / Government provides services, transportation or goods to the LOGCAP Contractor, can the Contractor "double bill"? In other words, will the LOGCAP Contractor charge the Government for Government Furnished Equipment (GFE)?

- No. The LOGCAP contract is cost plus. That means that if it doesn't cost the LOGCAP Contractor anything, they cannot charge the Government for it.
- If you provide the LOGCAP Contractor with goods or service directly, you are actually saving the Government money since you don't have to pay overhead, direct costs, and the value of the GFE is not included when determining the Contractor's profit or award fee.

c. What happens to the material and equipment the contractor bought with our funds?

- That property becomes GFE for the life of the contract or until the contractor declares the GFE as excess to their requirements.
- If the service continues than the contractor retains the GFE in place and continues to use it.
- The contractor can also transfer the GFE for use on another Task Order.

d. Can we take the equipment and material with us?

- Not unless the contractor has declared the GFE as excess and the Property Administrator has determined that it is no longer required for use in theater operations, roughly 30 days after the GFE is reported as excess.

- e. Who tells the contractor what to do?
  - The Task Order PWS tells the contractor what is required; the contractor knows how to provide the service.
  - Contractor employees are supervised and receive direction from their internal management. Military personnel can not supervise or direct contractor employees, with one exception.
  - **By law only the ACO/PCO have the authority to direct the contractor.** The Combatant Commander has limited authority for security/safety issues in a hostile environment.
- f. Can LOGCAP provide support to the Foreign Military?
  - No. The LOGCAP contract is a U.S. Army contract. The LOGCAP Contractor cannot provide recurring services specifically for Foreign Military personnel.
  - For one-time new work requirements, the ONLY way the ACO can direct the LOGCAP Contractor to provide support to Foreign Governments is after the Foreign Government has executed an Acquisition Cross servicing Agreement (ACSA) or a Standard North Atlantic Treaty Organization Agreement (STANAG) and submitted the STANAG through the Multi-National Cell to the ACO. These have been accomplished for Coalition forces.
- g. Can LOGCAP be used to purchase anything needed to support the mission?
  - No, the contractor purchases what is required to provide the service. They cannot be used to subvert the normal Army Supply System or Regulations.
  - The PWS can have the contractor provide supply support services as referenced in Section 3 and the LOGCAP Basic Contract. These services will be provided IAW Army Regulations.
- h. Should the contractor receive maximum award fee if their performance is above what expected?
  - Only if they have performed excellent in all rated areas and exceeded all expectations.

**6. Conclusion.** For additional information on LOGCAP, contact the POCs at the phone numbers listed below.

LOGCAP Deputy Program Director .....	312 987-0566 1 3004
LOGCAP Support Detachment OIC.....	312 987-0566 3044
LOGCAP Support Ops Officer.....	312 987-0566 3043
MNC-I CJ4 (AMC LNO).....	822-2487
MNC-I CJ7.....	822-2769
MNC-I CJ8	
- Comptroller.....	822-3277
- Deputy Comptroller.....	822-3278
- Logistics Civil Augmentation program (LOGCAP) Budget Officer.....	822-3224
Requirements Validation Boards (for LOGCAP)	
- JARB.....	822-3293
- JFUB.....	822-3846
DCMA Commander.....	312 987-0566 1 3057
Other Key Contacts	
- SJA.....	822-2094
- PARC.....	822-3143
- 266th FINCOM.....	822-2610
LSO Anaconda.....	443-7404
LSO Slayer.....	835-2051
LSO Taji.....	835-2064
LSO Victory.....	835-2051
LSO Fallujah.....	340-5376
LSO Al Asad.....	COM 281 669-5149
LSO Speicher.....	312 987-0566 8432
LSO IZ.....	239-8444
LSO Bucca.....	853-1130
LSO Scania.....	312 987-0560 7687
LSO Echo & Delta.....	242-0768

NOTE: All numbers are DSN with prefix 318 unless otherwise indicated

## **APPENDIX E**

### **MILITARY CONSTRUCTION (MILCON)**

#### **1. INTRODUCTION**

a. Congressional oversight of the Military Construction Program is extensive and pervasive.

b. As a general rule, the government funds projects costing less than \$750,000 with Operations and Maintenance (O&M) funds; projects costing more than \$750,000, but less than \$1.5 million, with Unspecified Minor Military Construction (UMMC) funds; and projects costing more than \$1.5 million with MILCON funds.

- Statutory Definition. *10 U.S.C. § 2801(a)*. The term “military construction” includes “any construction, development, conversion, or extension of any kind carried out with respect to a military installation.”
- Regulatory Definitions.
  - *FAR 36.102*. The term “construction” refers to the construction, alteration, or repair of buildings, structures, or other real property.
  - Construction includes dredging, excavating, and painting.
  - Construction does not include work performed on vessels, aircraft, or other items of personal property.
- The term “military installation” means “a base, camp, post, station, yard, center, or other activity under the jurisdiction of the Secretary of a military department or, in the case of an activity in a foreign country, under the operational control of the Secretary of a military department or the SECDEF.” *10 U.S.C. § 2801(c)(2)*.

#### **2. MNC-I MILCON FUNDING PROCESS**

a. The purpose of this section is to show a chronological order of how MILCON dollars are leveraged against base infrastructure requirements in Iraq. It will also detail the three different ways MILCON construction can be funded.

- Discussion
  - A MILCON project is defined as any requirement that exceeds \$750K in total project cost. If the project corrects a life, health, or safety deficiency, the MILCON threshold increases to \$1.5M.

- CENTCOM's Contingency Construction Priority List (CCPL) identifies the funding priority of all projects in SWA.
  - MNC-I/C7 submits an integrated priority list of Iraq projects to the Combined Forces Land Component Commander Forward (CFLCC FWD in Kuwait). The list is prioritized using an algorithm that combines MNC-I leadership priorities and MSC priorities for MSC identified requirements.
  - CFLCC FWD combines MNC-I's prioritized requirements with those from Afghanistan and Kuwait and submits to CFLCC Rear in Atlanta. CFLCC Rear validates the list and submits to CENTCOM for their consideration.
  - MSCs will submit new MILCON projects to MNC-I C7 through the JFUB process as described in appendix H (Requirements) as soon as requirements are identified so MNC-I C7 can maintain a current list of theater requirements that aligns with current strategies. This allows MNC-I to respond effectively and rapidly to short notice taskings and project calls.
- Prioritized projects can be funded through one of three funding streams:
    - MILCON appropriation by Congress through the annual MILCON Appropriations Act (MCAA). Funds are appropriated to the Services and executed by CFLCC against CCPL priorities. Funds normally begin to flow six months after the MCAA passes.
    - Supplemental appropriation by Congress through the Supplemental Funding Legislation. Funds are appropriated to the Services and executed by CFLCC against CCPL priorities. Funds normally begin to flow three to four months after the bill passes.
    - Contingency Construction Authority (CCA) is a fiscal authority that allow the use of Operations and Maintenance funds on projects that would otherwise require MILCON. This authority is granted by OSD on a case by case basis. It is important to note that CCA is not a source of funds, it is an authority to use O&M for specifically approved projects that would otherwise require MILCON.
  - Summary
- MILCON is the avenue to identify infrastructure improvements supporting OIF operations. These requirements can be funded through three different streams, and are normally applied against CENTCOM's annually developed CCPL. MNC-I may validate the CCPL on a quarterly basis to

maintain the most current list of MILCON requirements and posture itself to take advantage of all available funds; MSCs must submit new MILCON requirements through the JFUB process as specified in Appendix H.

### **3. MILCON FISCAL LAW DEFINITIONS**

#### **a. "SPECIFIED" MILITARY CONSTRUCTION PROJECTS**

The SECDEF and the Secretaries of the military departments may carry out military construction projects authorized by law.

- **Source of Funding.** Congress provides annual funding and approval for "specified" military construction projects in the Military Construction Appropriations Act. Congress funds the entire military construction program with lump sum appropriations. The Army's principal appropriations are the "Military Construction, Army" (MCA) appropriation, and the "Family Housing, Army" (FHA) appropriation. The conference report that accompanies the Military Construction Appropriations Act breaks down the lump sum appropriations by project.
- **Authorized Use.**
  - Congress normally "specifies" military construction projects expected to exceed \$1.5 million.
  - A military department may not carry out military construction projects expected to exceed \$1.5 million without specific Congressional authorization and approval.

#### **b. "UNSPECIFIED" MINOR MILITARY CONSTRUCTION (UMMC) PROJECTS**

- **Source of Funding.** Congress provides annual funding and approval for UMMC projects in the Military Construction Appropriations Act.. Congress appropriates "Unspecified Minor Construction" funds to each military department in the conference report that accompanies the Military Construction Appropriations Act; however, the conference report does not break down these appropriations by project.
- **Authorized Use.** The Secretary concerned may use these funds to carry out UMMC projects not otherwise authorized by law. An UMMC project is defined as a military construction project with an approved cost of \$1.5 million or less. However, an UMMC project may have an approved cost up to \$3 million if the project is intended solely to correct an immediate deficiency that threatens life, health, or safety.

- Requirements for Use. Before beginning an UMMC project with an approved cost greater than \$750,000, the Secretary concerned must approve the project. In addition, the Secretary concerned must:
  - Notify the appropriate committees of Congress; and
  - Wait 21 days.

c. UMMC PROJECTS FINANCED BY OMA FUNDS

- A General Prohibition on the Use of O&M Funds is provided at *41 U.S.C. § 12*. Most installations use O&M funds to finance routine operations; however, *41 U.S.C. § 12* prohibits a federal agency from entering into a public contract to build, repair, or improve a public building that binds the government to pay a sum that exceeds the amount Congress specifically appropriated for that purpose.
- In *The Honorable Bill Alexander, B-213137, 63 Comp. Gen. 422, 433 (1984)*, the General Accounting Office (GAO) interpreted *41 U.S.C. § 12* to:
  - Require specific Congressional authorization for military construction projects; and
  - Prohibit the use of other, more general appropriations for military construction projects.
- Statutory Exception for UMMC Projects. The Secretary of a military department may use O&M funds to finance projects costing less than:
  - \$1.5 million if the project is intended solely to correct a deficiency that threatens life, health, or safety.
  - \$750,000 if the project is intended for any other purpose.
- Project scope is critical. -- A “military construction project” includes all work necessary to produce a complete and usable facility, or a complete and usable improvement to an existing facility. The term “facility” means “a building, structure, or other improvement to real property.”
- Service Regulations. The term “construction” includes:
  - The erection, installation, or assembly of a new facility;
  - The addition, expansion, extension, alteration, conversion, or replacement of an existing facility;
  - The relocation of a facility from one site to another;
  - Installed equipment (e.g., built-in furniture, cabinets, shelving, venetian blinds, screens, elevators, telephones, fire alarms, heating

- and air conditioning equipment, waste disposals, dishwashers, and theater seats); and
- Related site preparation, excavation, filling, landscaping, and other land improvements.

#### d. MAINTENANCE AND REPAIR

- For fiscal law purposes, “construction” does not include repair or maintenance. Therefore, the government may fund repair and maintenance projects with O&M funds, regardless of the cost. Accordingly, the key question is whether or not this project is restoring function (maintenance) or is adding function or infrastructure that does not currently exist. You do not have to add the same equipment i.e., air conditioner that was built in 1965 for a building; you can use the current replacement equipment, even if that adds capacity as long as you are restoring the function (and not adding an enormously differently capacity)
- Maintenance. *AR 420-10, Glossary, sec. II*, defines maintenance as the “work required to preserve or maintain a facility in such condition that it may be used effectively for its designated purpose.” It includes work required to prevent damage and sustain components (e.g., replacing disposable filters; painting; caulking; refastening loose siding; and sealing bituminous pavements).
- Repair. Statutory Definition. *10 U.S.C. § 2811(e)*. A “repair project” is defined as a project to restore a real property facility, system, or component to such a condition that the military department or agency may use it effectively for its designated functional purpose. Use of O&M funds to pay for repair costs is appropriate under *section 2811 and DoD FMR 7000.14-R, vol 2B, chapter 8, para 08105 and AR 415-15, para 2-3b; AR 420-10; Memo, Asst. Chief of Staff, Installations Management, subject New Definition of Repair (4 Aug 1997)* stating repair means to restore a facility or facility component to such a condition that the Army may use it for its designated purpose but that the facility must exist and be in a failed or failing condition in order to be considered for a repair project.
- MNC-I Commander has the authority to approve maintenance and repair projects to up \$3M. Projects greater than \$3M require approval by the Assistant Chief of Staff for Installations and Management (ACSIM).

## ***APPENDIX F***

### ***OTHER PROCUREMENT, ARMY (OPA)***

#### **1. INTRODUCTION.**

OPA funds are used when purchasing a single piece of equipment or system that cost in excess of \$250K or for centrally managed items. Regardless of whether the item purchased is through a direct contract or through the LOGCAP program, the OPA threshold applies.

#### **2. DEFINITIONS.** DFAS-IN Manual 37-100-05, Appendix A, Para F: Definitions Used in Determining Expense and Investment Costs

- **System.** There are two considerations for the definition of a system. The first consists of an automation capability which is centrally managed and must be considered by a Major Automated Information Systems Review Committee (MAISRC). The second is generic and could be any combination of components/items which work together to perform a function or to satisfy an approved requirement as defined above.
- **Modification.** The alteration, conversion, or modernization of an end item of investment equipment which changes or improves the original purpose or operational capacity in relation to effectiveness, efficiency, reliability or safety of that item.
- **Maintenance.** The routine, recurring effort conducted to maintain an end item of investment equipment at its intended capability or designed performance level.
- **Construction.** The erection, installation, or assembly of a new facility; the addition, expansion, extension, alteration, conversion, or replacement of an existing facility; or the relocation of a facility from one installation to another.
- **Real Property Maintenance.** The various functions for the maintenance and repair of facilities and the accomplishment of minor construction financed by an operations appropriation.
- **Facility Maintenance.** The recurrent, day-to-day, periodic or scheduled work required to preserve real property in such condition that it may be used for its designated purpose.

#### **3. INVESTMENT/EXPENSE THRESHOLD**

Expenses are costs of resources consumed in operating and maintaining the Services and are normally financed with O&M appropriations. See *DOD FMR, vol. 2A, ch. 1, para. 010201*.

Common examples of expenses include:

- Labor of civilian, military, or contractor personnel;
  - Rental charges for equipment and facilities;
  - Food, clothing, and fuel;
  - Maintenance, repair, overhaul, and rework of equipment; and
  - Utilities.
- Investments are “costs to acquire capital assets” or which have costs that will benefit both current and future periods and generally have a long life span. Investments are normally financed with procurement appropriations.
- Systems. Various audits have revealed that local activities use O&M appropriations to acquire computer systems, security systems, video telecommunication systems, and other systems costing more than the investment/expense threshold. This constitutes a violation of the *Purpose Statute*, and may result in a violation of *the Antideficiency Act*.
  - Agencies must consider the “system” concept when evaluating the procurement of items. The determination of what constitutes a “system” must be based on the primary function of the items to be acquired, as stated in the approved requirements document.
  - A system exists if a number of components are designed primarily to function within the context of a whole and will be interconnected to satisfy an approved requirement.
  - Agencies may purchase multiple end items of equipment (e.g., computers), and treat each end item as a separate “system” for funding purposes, only if the primary function of the end item is to operate independently.
  - Do not split requirements of an inter-related system of equipment merely to avoid exceeding the O&M threshold.
  - Example: An agency is acquiring 200 stand-alone computers and software at \$2,000 each. The computers are being purchased primarily to operate as independent workstations. The agency should use O&M funds for this acquisition. If one of the primary reasons for purchasing the computers is so that their users could tie into a network and communicate with one another via email, the computers should be purchased with Procurement funds.

#### **4. SEEKING OPA FUNDING.**

a. There are only limited occasions where units submit requirement for OPA funding. There are two methods for submitting for OPA funding, through the JARB process for non-tactical equipment (such as purchase of non-tactical vehicles which are centrally managed) and through the Operational Needs Statement (ONS) which is the process to validate new equipment and capabilities for warfighting units.

b. The first point of entry for ONS is the C3 Force Management Division. If you are unsure whether a requirement is appropriate for an ONS, contact C3 FMD or the C8 JARB cell, both will assist you in determining the appropriate means of satisfying your requirements.

c. For further information on the Requirements Validation Process, see Appendix H, Requirements.

## **APPENDIX G**

### **MANAGEMENT CONTROL PROGRAM**

1. Purpose: The DoD's Management Control Program is designed to ensure that programs operate as they are intended, that areas needing improvement are identified and reported, and that timely corrective action is taken.

2. Management controls are any rule, method, procedure, or device designed to ensure that what should happen does happen. In general, the program is implemented by scheduling conducting and documenting evaluations of management controls. Based on the results these evaluations, management must identify and correct any material weaknesses, and must submit an Annual Statement of Assurance (ASA) through their chain of command. The Multi-National Corps – Iraq (MNC-I) Management Control Program is established to provide reasonable assurances that:

- a. obligations and costs are in compliance with applicable laws;
- b. funds, property, and other assets are safeguarded against waste, loss, unauthorized use, or misappropriation;
- c. revenues and expenditures are properly recorded and accounted for; and
- d. programs are efficiently and effectively carried out according to the applicable law and management policies

3. Responsibilities:

- a. Assessable Unit Managers: MNC-I assessable unit managers are the commanders or senior managers of units or staff sections of the United States Armed Forces led by an O-6/GS-15 or above. Assessable unit managers will:
  1. appoint a management control administrator by sending an appointment letter to MNC-I's Management Control Administrator (MCA)
  2. ensure the unit MCA receives MCP training
  3. develop and submit a Management Control Plan (MCP) to the MNC-I MCA. A MCP is a schedule of management control evaluations
  4. conduct appropriate management control evaluations, document and forward the documentation to the MNC-I MCA
  5. submit a Annual Statement of Assurance (ASA) for your unit
  6. ensure management control is listed as an explicit responsibility under major performance objectives in each assessable unit manger's annual personnel evaluation support form
- b. Assessable Unit (MCA)s: Assessable Unit MCAs will administer the management control process and lead all management control activities for the their unit. They will also complete quarterly assessments and forward complied assessment to the MNC-I MCA NLT the 8<sup>th</sup> day of the following month.

4. Management Control Plans (MCP): MCPs are simply a schedule of management control evaluations shown by quarter. The schedule must communicate clearly to subordinate managers what areas are to be evaluated which quarter and who will conduct the evaluation. During quarters in which a transfer of authority will occur, evaluations must be conducted by the redeploying unit. The schedule should reflect the following types of evaluations;

- a. The Army has an inventory of management control evaluations. MCAs can locate this inventory on the Army's Management Control Program website (<http://www.asafm.army.mil/fo/fod/mc/amcec/amcec.asp>). Evaluations listed in this inventory must be conducted at least once every five years. MCAs should first determine which evaluations from the inventory are applicable to their assessable unit.
- b. Command oversight process such as staff assistance visits, internal and external audits, command inspections, and internal reviews are considered evaluations of internal controls.
- c. MCAs should seek senior leader involvement to determine which functions need to be evaluated. Manager should focus on unique processes that are critical to their operations and are not already covered by the Army's inventory of evaluations. Keep in mind that all leaders and managers perform management controls. These controls range from the simple to the complex, from locking a door at the end of the day to formal audits of financial records. When these management controls are significant and recurring, managers should document them and place them on the management control plan.

5. Annual Statement of Assurance (ASA): An ASA is a report that provides a broad assessment of management controls within the command or agency and that identifies any material weaknesses in these management controls. ASA from reporting organizations consist of the following:

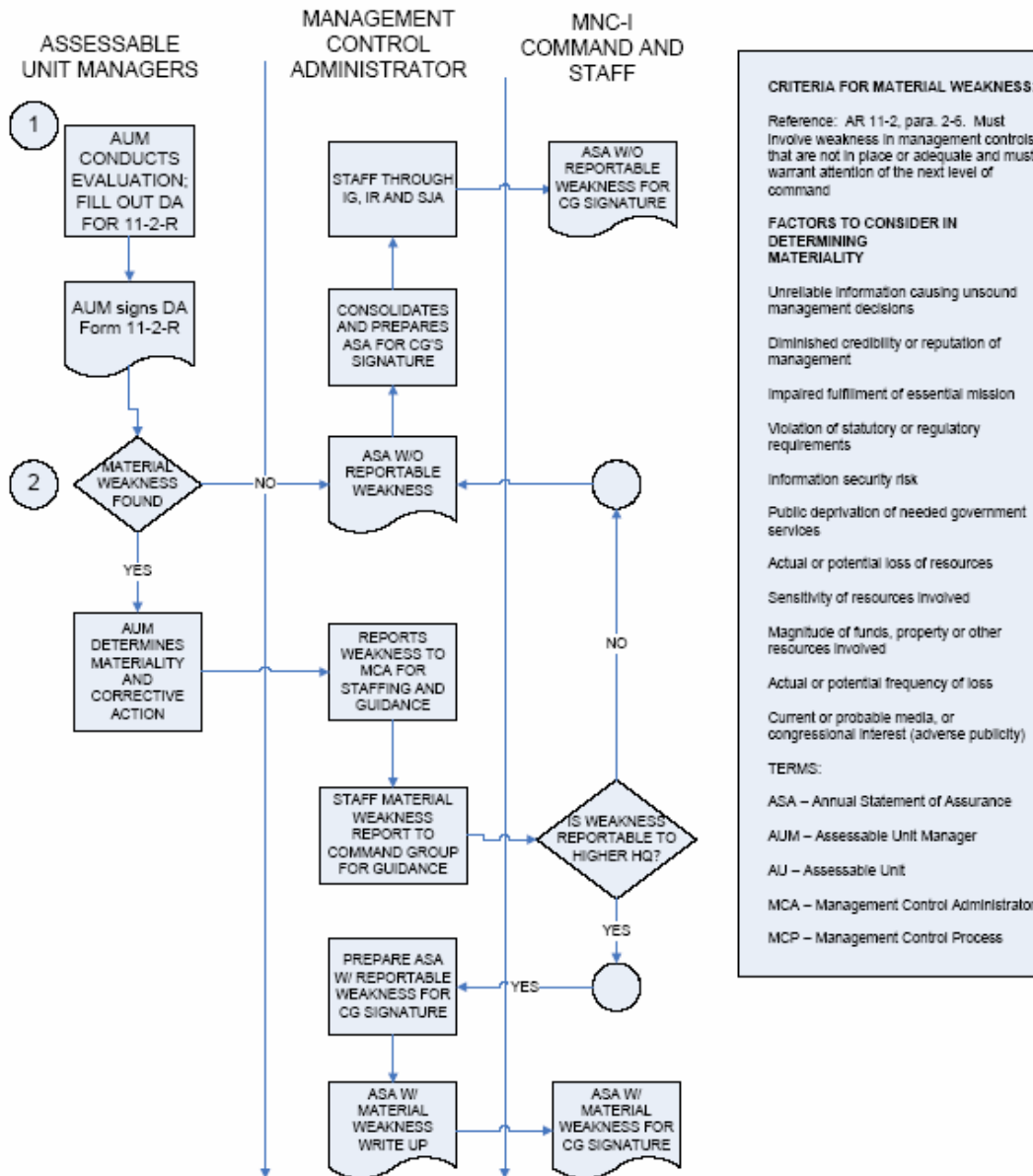
- a. A cover memorandum signed by the head of the reporting organization. This memorandum includes the actual statement of assurance, either an unqualified statement ("I have reasonable assurance ....") or a qualified statement ("I have reasonable assurance except for ...."). The cover memorandum may also be used to address significant issues or concerns that relate to the effectiveness of management controls.
- b. DA Form 11-2R, which will provide a description of how the management control process was conducted in the reporting organization and the basis for the determination of reasonable assurance. You should describe how your determination of reasonable assurance was reached.

6. When writing the ASA units must determine if they have a reasonable assurance, a management control weakness, or a material weakness.

- a. Reasonable Assurance: A satisfactory level of confidence that management controls are adequate and are operating as intended. Inherently a management judgment, reasonable assurance recognizes that there are acceptable levels of risk that cannot be avoided because the cost of absolute control would exceed the benefits derived.
- b. Management Control Weakness: The absence or ineffectiveness of management controls (e.g., management controls are not in place, or are in place but are not being used, or are in place and being used but are not effective).
- c. Material Weakness: A management control weakness that warrants reporting to the next level of command, either for their action or for their awareness. To be considered material, a weakness must meet two conditions: it must involve a deficiency in management controls (i. e., management controls are not in place, are not being used or are inadequate), and it must warrant the attention of the next level of command, either because that next level must take action or because it must be aware of the problem.

7. MNC-I MCA will keep in contact with the assessable unit's MCA to ensure that they understand what is required of them each quarter. For issues or concerns with your unit's MCP please contact MNC-I CJ8 Plans and Operations at DSN 822-3288.

## MANAGEMENT CONTROL PROCESS Evaluation and Reporting Procedures



**APPENDIX H**  
**REQUIREMENTS VALIDATION PROCESS**  
**1 November 2006**

1. **References.**

A. USARCENT Resource Management Handbook, 1 Jan 05.

2. **Purpose.** This SOP establishes MNC-I's standard business practices and Requirements Validation procedures.

3. **Applicability.** This SOP applies to all MNC-I commands that are funded with MNC-I Title X OMA funds.

4. **Concept.** MNC-I has developed three functionally specific boards to review requirements for validation. They are the C6 Validation Board (C6VB) that reviews IT and communications requirements, the Joint Facilities Utilization Board (JFUB) that reviews construction requirements, and the Joint Acquisition Review Board (JARB) that reviews all other requirements. Conceptually, higher level commands and staffs will validate requirements for high dollar items (> \$200K) and select command-interest items regardless of their value. This requirements validation process starts with the requirements owner preparing and submitting a packet to a requirements validation board where it is staffed, voted and recommended to the Corps Chief of Staff for final decision. The MNC-I Corps CG has established criteria to determine which items are subject to a Corps requirements validation board. These items are located in paragraph 8 of this document.

5. **General Process.** Generally, the below process describes a normal requirements validation sequence from start to finish. **NOTE THAT THIS PROCESS IS NOT A FUNDING AUTHORIZATION PROCESS BUT SERVES TO VALIDATE REQUIREMENTS; FUNDING A VALIDATED REQUIREMENT IS DECIDED THROUGH A PRIORITIZATION PROCESS AT THE MSC OR MNC-I HQ LEVEL.**

A. IDENTIFY REQUIREMENT. Unit determines a requirement and prepares a requirements validation packet (if required) for submission to the respective requirements validation board.

B. JUSTIFY REQUIREMENT AT UNIT LEVEL. Unit may process the packet through a local vetting construct (i.e. Division Acquisition Requirements Board (DARB)) as established at the MSC or below level. Once the unit has completed the packet in accordance with the stated requirements, to include having a COLONEL/O6 endorsement, they will submit it electronically to the Board portal.

C. BOARD REVIEW. Each requirements review board functions differently but in principle, all packets are staffed to select Corps staff principles, (at a minimum, usually the C3, C4, C8 & SMEs) and the Staff Judge Advocate for legal review. After each member casts its vote of *concurrence*, *nonconcurrence* or *defer*, the packet is then prepared for presentation to the Chief of Staff.

- D. REQUIREMENTS VALIDATION DECISION BRIEFING (RVDB). Twice weekly or as needed, the chairmen of the different validation boards present the Corps validation packets to the Chief of Staff for final decision.
- E. DECISION ANNOUNCEMENT. After each RVDB, the board's approved minutes reflecting the Chief of Staff's signature will be posted on the MNC-I portal for review and action.
- F. FUNDING. Seek funds through the MNC-I budget and spend plan process.
- G. REQUEST FOR CANCELLATION. Request for cancellation of a package, at any stage, need to be generated by the customer and sent to the appropriate board coordinator. This can be done via email or in memorandum format.

## **6. RESPONSIBILITIES.**

- A. MNC-I Commanding General. The CG establishes command policies and priorities for requirements validation procedures across the Corps.
- B. MNC-I Chief of Staff. The CofS will enforce the command's policies on requirements validation procedures and advise the CG of policy issue that requires his attention. He also functions as the Requirement Validation Board's President – the approval authority for all Requirements Validation Board requests. By exception, the MNC-I Deputy Chief of Staff may act on the CofS's behalf in his absence, as the president of the Requirements Validation Boards.
- C. MNC-I C8. The MNC-I C8 proper will serve as the Corps Requirements Validation Program Coordinator, responsible for establishing and coordinating the Corps' business practices and requirements validation program.
- D. MNC-I C6 C6VB Cell. The MNC-I C6 Validation Board Cell will serve as the C6VB packet request portal and the Secretary for the C6VB process.
- E. MNC-I C7 JFUB Cell. The MNC-I C7 Joint Facilities Utilization Board Cell will serve as the JFUB packet request portal and the Secretary for the JFUB process.
- F. MNC-I C8 JARB Cell. The MNC-I C8 Joint Acquisition Review Board Cell will serve as the JARB packet request portal and the Secretary for the JARB process.
- G. SJA. The Corps Staff Judge Advocate will provide legal opinion on all requirements validation packets before they can be considered for decision.
- H. MNC-I Staff. Select Primaries on the MNC-I Staff will, upon request provide subject matter expertise and provide concurrence on select requirements validation packets.

## **7. RULES OF ENGAGEMENT.**

- A. BOARDS. MNC-I has three primary Requirements Validation Boards for validating requirements – the JARB, JFUB and C6VB. These boards are conducted electronically with the goal of processing a packet in a 48 hour time frame. See Annexes 1, 2, and 3 for each Board's respective SOP.

B. REQUIREMENTS VALIDATION DECISION BRIEF. The Secretaries of the three Requirements Validation Boards with the Requirements Validation Program Coordinator will present packets to the President of the Board every Tuesday and Friday at 1100 hours.

C. EMERGENCY/OUT-OF-CYCLE REQUIREMENTS VALIDATION PACKETS. A requirements validation packet that requires immediate attention of the President of the Requirements Validation board must be endorsed by the MSC Chief of Staff or Separate Brigade Commander. Otherwise it will be processed per the established processing cycle.

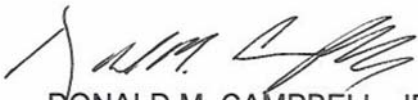
D. NONCONCURRENCES. All *non-concurrences* and *concurrences with comment* will be highlighted to the COFS during the RVDB.

8. Requirements will be submitted to the following boards as indicated below:

Item Required	Validation Board	Annex
Force Protection items (regardless of cost)	JARB	1
New services under LOGCAP over \$50K	JARB	1
Expansion of existing LOGCAP services over \$50K	JARB	1
MWR items over \$50K	JARB	1
Contractor Services	JARB	1
Requirements with 1 time or annual cost over \$200K	JARB	1
Non Tactical or Utility Vehicle requests	JARB	1
Information Technology equipment or systems	C6VB	2
Construction over \$200,000	JFUB	3
MTO&E items	ONS	*

\*Note. The Operational Needs Statement (ONS) is the process to document capability shortfalls within a command and identify a requirement for a material shortfall. ONS are managed by C3 Force Management; MTO&E items should not be requested using the command's validation board procedures.

8. Recommendations for changes to this SOP should be referred to the MNC-I C8.

  
DONALD M. CAMPBELL, JR.  
BG, U.S. ARMY  
Chief of Staff

ENCL. 3

# **ANNEX 1**

## **TO**

### **APPENDIX H**

#### **JOINT ACQUISITION REVIEW BOARD (JARB)**

#### ***JOINT ACQUISITION REVIEW BOARD (JARB) Policies and Procedures***

##### **1. REFERENCES.**

- a. MNC-I FRAGO 062 Task 9 to OPORD 06-01 (Joint Acquisition Review Board)

##### **2. PURPOSE.**

a. This appendix outlines the policies and procedures on the conduct of the MNC-I JARB process. The policies apply to all Multi-National Corps – Iraq headquarters and subordinate units requiring MNC-I appropriated Operations and Maintenance, Army (OMA) funds.

b. The process described here is a part of the overall command requirements validation process. The MNC-I JARB recommends approval and disapproval of specified projects, purchases, services, and leases funded with Operational and Maintenance, Army (OMA) funding. Final approval authority resides with the MNC-I Chief of Staff. Any requirements over \$10,000,000 will be forwarded to the CFLCC Super CARB for validation.

##### **3. PROGRAM OVERVIEW.**

a. The JARB is chaired by the MNC-I C8 who is responsible for the overall administration and impartiality of the JARB process.

b. The JARB Cell receives completed packets from subordinate units or from MNCI staff sections. In order to ensure requirements are given fair consideration in a timely manner, JARB requests must be coordinated with the appropriate functional staff section and assembled IAW the JARB Checklist. The cell then forwards the packet electronically to the JARB Board members for review and recommendations.

c. The JARB Board voting members are the MNC-I staff sections: C3, C4, C7 and C8. Additionally, other functional experts may be called upon to review specific JARB packages; this may include the C1 for MWR requirements, the C2 for intelligence related acquisitions or the C9 for Civil Affairs initiatives. The JARB members review initiatives from both their functional perspective as well as from an overall benefit to the command. Members are expected to apply seasoned military judgment in making a recommendation to the CoS.

d. The JARB Board advisors are the Staff Judge Advocate (SJA) and the Principal Assistant Responsible for Contracting (PARC). They are Non-voting, technical members of the JARB process.

e. The criteria for the submission of a JARB package requiring the use of MNC-I OMA funds are:

- 1) LOGCAP Services – expansion of services for \$50,000 or new services.
- 2) Contractor Services.
- 3) Morale, Welfare & Recreation (MWR) Program Purchases over \$50,000.
- 4) Non-Tactical Vehicles (NTV) – all motorized transportation other than tactical unit vehicles such as SUVs, cars, pick-ups, etc. Tactical vehicles require a modification to the Modified Table of Organization and Equipment (MTOE) which is requested through an Operational Needs Statement (ONS).
- 5) Utility vehicles – non-tactical vehicles that are designed to perform a specific function besides general movement of personnel. Examples include Material Handling Equipment, ATVs, Bulldozers, Trucks, Gators, watercraft, etc
- 6) Force Protection requirements.
- 7) O&M Requests requiring an annual expenditure of \$200,000 or more.

f. The JARB members will provide their recommendation to the JARB Cell who will consolidate the inputs, and with the MNC-I C8 will present them to the CoS in the Requirements Validation Decision Brief for final decision. No package will be presented to the CoS that does not have a legal concurrence. Packages may be approved, deferred or disapproved. Those that are disapproved can be changed by the unit and resubmitted to the JARB Cell for reconsideration. Deferred packages generally require some additional information or the occurrence of some future event in order to be reconsidered. **Approval of a JARB submission simply means the requirement has been validated, not that funding is available.** Once a package is approved it must be funded through the MNC-I budget process.

g. Results of the JARB vote and status of JARB packets are available on the web at <http://mnci.intranet.irq01.centcom.mcfi.cmil.mil/C8/JARB/default.aspx> (CENTRIX) or <http://sps.iraq.centcom.smil.mil/C9/JARB/default.aspx> (SIPR).

h. JARB requirements that have been approved by the CoS but exceed the approved funding amount by 10% or more or packages that have been approved over 1 year must resubmit the requirement to the JARB and get MNC-I CoS approval prior to the contract award.

i. The normal JARB cycle requires board members to review packages within 48 hours and either provide their vote or identify the additional information required in order to make a vote. The Requirements Validation Decision Brief (RVDB) takes place twice weekly. If a JARB package is considered an emergency that cannot wait for the normal JARB cycle, MNC-I will conduct an out-of-cycle JARB. Emergency JARB packages are defined as those requirements that must be expedited by all parties involved as their delay would constitute an unacceptable level of risk to the mission or safety of MNC-I personnel.

#### **4. Responsibilities.**

##### **a. MSC's and Units Submitting Requirements**

- 1) Using the criteria outlined above, develop JARB packages for initiatives as required. A JARB checklist is provided in Para 6 below.

2) Confirm that requirements cannot be filled through Standard Army Retail Supply System (SARSS), internally, or through other MNC-I resources.

3) In order to assist in requirement development, specific items must be coordinated with a functional expert on the MNC-I staff prior to submission. Paragraph 6 identifies what functional staff coordination is required prior to submitting a JARB package.

4) Submit validated requirements to the C8 JARB Cell via email to [MNCIc4JARBCell@centcom.mcfi.cmil.mil](mailto:MNCIc4JARBCell@centcom.mcfi.cmil.mil) (CENTRIX) or [MNCC4JARBCell@iraq.centcom.smil.mil](mailto:MNCC4JARBCell@iraq.centcom.smil.mil) (SIPR), and allowing sufficient time for the acquisition process to obtain the items or services without adversely affecting a critical mission requirement.

b. C1

1) Act as a functional expert to the board and review and endorse valid requirements for AAFES services and Morale, Welfare, & Recreation (MWR) program purchases that exceed \$50,000.

c. C2

1) Act as a functional expert to the board and review and endorse valid requirements for intelligence related initiatives.

d. C3

1) Provide a field grade officer to review JARB requirement documents and be a voting JARB member. Voting members must be prepared to review requirements from both a functional perspective as well as provide the CoS an overall recommendation from a business perspective based on well reasoned military judgment.

2) Serve as a functional expert to review requirements from an overall operational perspective as well as a force protection perspective.

3) Determine eligibility of AT/FP packages for Combating Terrorism Readiness Initiative Fund (CBT RIF) submission and provide recommendation to JARB.

e. C4

1) Provide a field grade officer to review JARB requirement documents and be a voting JARB member. Voting members must be prepared to review requirements from both a functional perspective as well as provide the CoS an overall recommendation from a business perspective based on well reasoned military judgment.

2) Serve as a functional expert to review requirements from an overall logistics perspective. This includes not only the validity of equipment justifications, but whether existing equipment can be tasked to satisfy the requirement vice a new lease or purchase.

3) Conduct coordination with the requirements holder prior to their submission of the JARB to help define the requirement and ensure the streamlined processing of the JARB package when submitted. Specifically, review and endorse valid requirements for:

Equipment (MTOE) shortfall

- a. Lease of equipment that fills a Modified Table of Organization and
- b. Refrigerator and storage containers (CONEX)
- c. Non-Tactical Vehicles (NTV) and utility vehicles
- d. Logistics Civil Augmentation Program (LOGCAP) requests for expansion of current services, and all new services over \$50,000
- e. Services managed by an acquisition program manager or program executive office
- f. Contracted labor

f. C7

1) Provide a field grade officer to review JARB requirement documents and be a voting JARB member. Voting members must be prepared to review requirements from both a functional perspective as well as provide the CoS an overall recommendation from a business perspective based on well reasoned military judgment.

2) Serve as a functional expert to review requirements from an overall engineering perspective. This includes not only the validity of requirement, but whether another alternative might provide the same capability with more efficiency or at a lower cost.

3) Conduct coordination with the requirements holder prior to their submission of the JARB to help define the requirement and ensure the streamlined processing of the JARB package when submitted. Specifically, review and endorse valid requirements for:

- a. Engineer equipment
- b. Barriers and bunkers
- c. Facilities
- d. Electrical power generation equipment producing more than 5,000 watts of output power.
- e. Relocatable buildings, trailers, and containerized housing units (CHU)

g. C8

1) Act as the MNC-I staff lead and overall proponent for JARB policies and procedures.

2) Provide an officer to act as the coordinator of the JARB.

3) Provide a field grade officer to review JARB requirement documents and be a voting JARB member. Voting members must be prepared to review requirements from both a functional perspective as well as provide the CoS an overall recommendation from a business perspective based on well reasoned military judgment.

4) Provide the administration of the JARB cell; accepting, processing, recording CoS decisions and disseminating the results of the JARB process to stakeholders.

h. SJA

1) Provide a Legal Advisor to the JARB as a non-voting member.

2) Review proposed initiatives from an overall legal and fiscal perspective.

i. PARC

- 1) Provide a contracting officer to the JARB as a non-voting member for select packages.
- 2) Review packages for appropriateness from a contracting perspective. To include feasibility for contracting and adequacy of the Statement of Work (SOW).
- 3) Review select requests as requested by the JARB Cell for initiation of new work under LOGCAP to determine if direct contracting is a more appropriate or potentially more cost effective means of satisfying new work requests.

5. **Operations and Maintenance, Army (OMA) FUND LIMITATIONS for JARB Packages**

a. OMA funds are appropriated by congress to fund the operations and maintenance U.S. Army units executing Title X responsibilities. As such, requirement that is not appropriate for OMA funding may still be JARB'ed as part of the requirements validation process, but may be approved subject to availability of the correct appropriation. If a requirement is clearly not appropriate for OMA funding, considerable effort may be saved by contacting the JARB cell to seek guidance on the correct validation process to use for the requirement.

b. Purchase of items that have an individual unit cost or system cost of less than \$250,000 may use OMA funding for the purchase. In the case of acquisition of systems or items that are centrally managed within the Department of the Army, the DoD Financial Management Regulation Vol 2a, Para 010201 provides amplifying guidance to make the determination of whether O&M funding can be used.

See H-1-9 for wire diagram.

6. **MNC-I JARB CHECKLIST.** The following items must be included in JARB packages in order to ensure a timely response and to ensure requirements have been fully vetted.

1	Letter of Justification (LoJ) – include and explanation of the project and impact if not funded	8	C1 Endorsement
2	PR&C (DA Form 3953)	9	C3 Endorsement
	MIPR (DD Form 448)	10	C4 Endorsement
	LOGCAP Services Sheet (ID packet as being a LOGCAP Service – no funding document)	11	C7 Endorsement
3	Independent Gov't Cost Estimate (IGCE) (LOGCAP)	12	Mayoral Endorsement
	Cost Estimate (Not LOGCAP)	13	MSC/DRU Command Group Endorsement (O-6 or Higher)
4	Statement of Work	14	Leased Equipment/Vehicle Worksheet (attch. 1)
5	Sole Source Justification Memo	15	Acknowledgement of TPE Memo (attch. 2)
6	Legal Review		
7	AT/FP Endorsement		

a. CONSTRUCTION

(1) Construction is the creation of a new structure, installation, facility or utilities and includes the cost of land improvements, excavation and land filling. Modifications to existing facilities may also fall under construction and should be coordinated with MNCI C7 to determine whether those modifications are considered construction or repairs. Construction under \$200K goes to the JARB when the project includes other non-construction items that make the total cost over \$200K (such as purchase of relocatable buildings) NOTE: ALL Construction over \$200K goes to JFUB vice the JARB.

(2) Required Documents:

- a. ALL packets require documents 1, 2, 3, 4, 6, 11, 13, & 15
- b. Sole Source Justification (5) needed if you are asking for a specific company or vendor – work with your contracting officer to complete this
- c. AT/FP Endorsement (7) if appropriate
- d. Mayoral Endorsement (12) required for any new construction on base
- e. Other endorsements & supporting documents as necessary
- f. Compare Requirement to SANDBOOK Standards

b. MORALE, WELFARE, & RECREATION (MWR)

(1) Any purchase or work that involves MWR that exceeds \$50K and AAFES Packets (i.e. Sports Equipment, Gymnasium, etc.)

(2) Required Documents:

- a. ALL packets require documents 1, 2, 3, 6, 8, 13, & 15
- b. SOW (4) required for services
- c. Sole Source Justification (5) needed if you are asking for a specific company or vendor – work with your contracting officer to complete this
- d. AT/FP Endorsement (7) if appropriate
- e. C7 Endorsement (11) if it involves any type of construction
- f. Mayoral Endorsement (12) required for any construction on base
- g. Other endorsements & supporting documents as necessary

c. NON-TACTICAL VEHICLES (NTVs)

(1) NTVs include: Sport Utility Vehicles, Sedans, Station Wagons, Vans and Buses

(2) Required Documents:

- a. ALL packets require documents 1, 2, 3, 4, 6, 10, 13, & 14
- b. Letter of Justification (1) must include an assessment of alternative solutions (such as internal redistribution of existing NTVs and/or military vehicles) and a recap of existing NTVs currently in use in support of current requirements
- c. SOW (4) Must address the plan for vehicle maintenance
- d. Sole Source Justification (5) needed if you are asking for a specific company or vendor – work with your contracting officer to complete this
- e. Other endorsements & supporting documents as necessary

d. UTILITY VEHICLES

(1) Utility vehicles are those non-tactical vehicles that are designed to perform a specific function besides general movement of personnel. Examples include Material Handling Equipment, ATVs, Bulldozers, Trucks, Gators, etc

(2) Required Documents:

- a. ALL packets require documents 1, 2, 3, 4, 6, 10, 13, 14, & 15
- b. Letter of Justification (1) should include an assessment of alternative solutions (such as internal redistribution of existing vehicle and/or military vehicles) and a recap of existing vehicles currently in use in support of current requirements
- c. SOW (4) Must address VEHICLE MAINTENANCE
- d. Sole Source Justification (5) needed if you are asking for a specific company or vendor – work with your contracting officer to complete this
- e. AT/FP Endorsement (7) if appropriate
- f. C7 Endorsement (11) if any construction is involved with vehicle's requirement
- g. Other endorsements & supporting documents as necessary

e. SERVICES CONTRACTS

(1) Any type of contracted labor (ex. Translators, Security Personnel, Technical Representatives, etc.)

(2) Required Documents

- a. ALL packets require 1, 2, 3, 4, 6, 10, & 13
- b. Sole Source Justification (5) needed if you are asking for a specific company or vendor – work with your contracting officer to complete this
- c. AT/FP Endorsement (7) if appropriate
- d. C7 Endorsement (11) if it involves any type of construction
- e. Other endorsements & supporting documents as necessary, such as IGCE for Life Support Requirements

f. ANTI-TERRORISM/FORCE-PROTECTION (AT/FP)

(1) This includes any type of protection for personnel and facilities. It may include barrier materials, cameras and sensors at gates or checkpoints, or modifications to Entry Control Points.

(2) One special source of funding is the Combating Terrorism Readiness Initiative Fund (CBTRIF). These funds are requested through USCENTCOM based on an emerging and unfunded AT/FP requirement. During the JARB review, the C3 will review packages for their compatibility with the CBTRIF program and will submit requirements for this fund as appropriate.

(2) Required steps

- a. ALL AT/FP projects are required to be put into the Core Vulnerability Assessment Management Program (CVAMP) prior to JARB submissions (do this through your unit AT officer)
- b. Once entered into CVAMP submit your packet to the JARB cell with the documents listed below

(3) Requires Documents

- a. ALL packets require 1, 2, 3, 4, 6, 9, 10, 13, & 15
- b. Sole Source Justification (5) needed if you are asking for a specific company or vendor – work with your contracting officer to complete this
- c. C7 Endorsement (11) if it involves any type of construction
- d. Other endorsements & supporting documents as necessary

(4) For additional assistance or advice in preparing an AT/FP project, contact

MNCI C3

g. ALL OTHER PURCHASES

(1) Required Documents:

- a. All packets require documents 1, 2, 3, 6, 13, & 15
- b. Other endorsements & supporting documents as appropriate

h. Letter of Justification (LoJ)

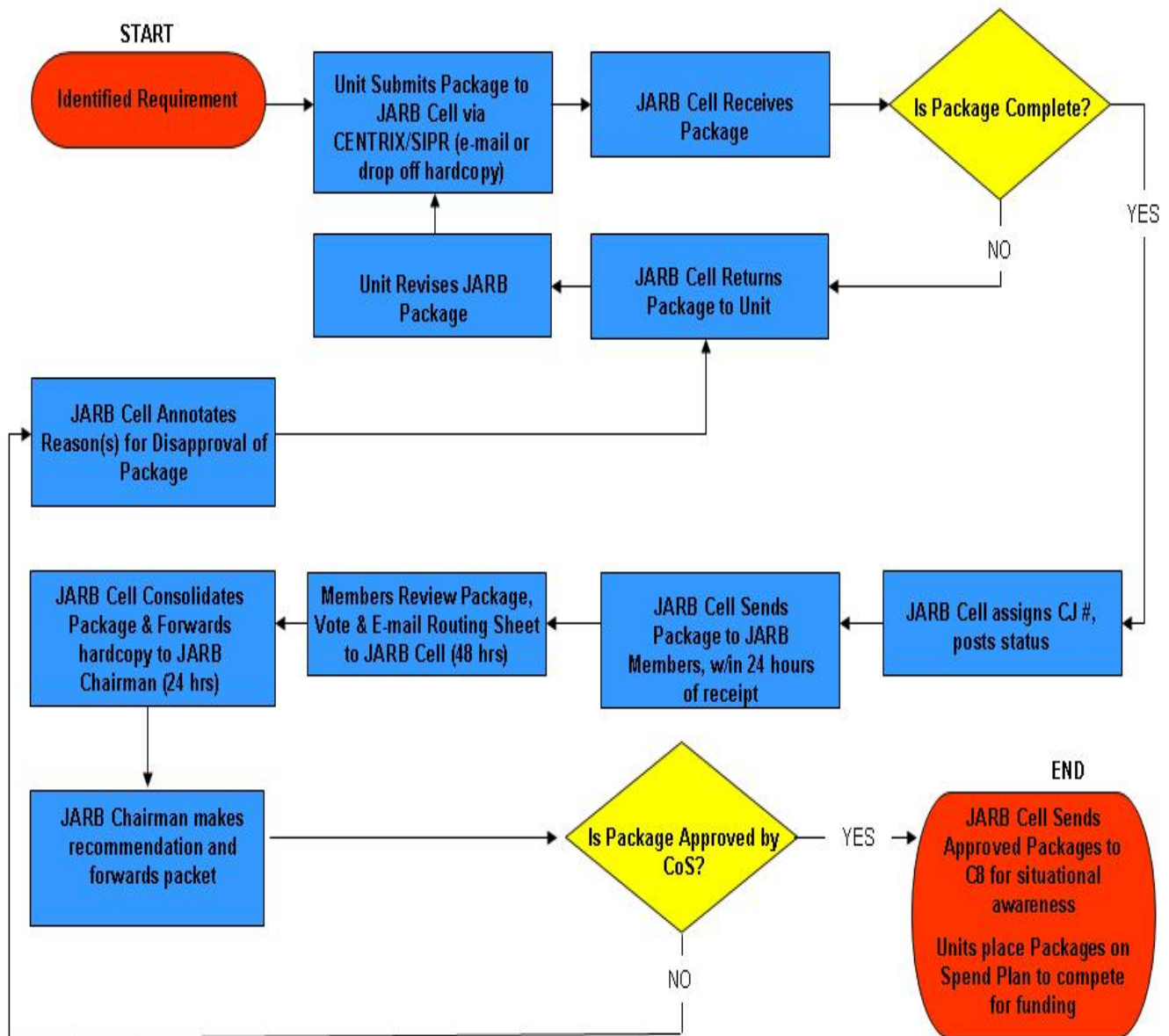
(1) The purpose of this letter is to identify for the board and the CoS what the requirement is and how you are planning on satisfying the requirement. This is the singularly most important document to ensure the project is understood and competes well.

(2) Your LOJ must answer these questions (as appropriate):

- a. What is your REQUIREMENT?
- b. What do you want approved?
- c. What REGULATIONS OR POLICIES require you to have this item?
- d. What is the operational need for this item?
- e. What is the OPERATIONAL IMPACT if it is not approved?
- f. What are the SAND BOOK CALCULATIONS for facility requirements and what is the justification for exceeding the Sand Book (if necessary)?
- g. How much of this item do you have now?
- h. How much of this item do you plan to buy, quantity, period of performance or duration of contract?
- i. What is the DISTRIBUTION PLAN? (Cell Phones, NTVs, etc.)
- j. How will it be used?
- k. When and how often will it be used?
- l. Where will it be used?
- m. Will this item stay in theater when your unit leaves?
- n. Can your unit, higher headquarters, or base camp support your requirement?
- o. List ALTERNATIVES that were evaluated and what is the supporting economic analysis used to justify your preferred solution?
- p. What is CURRENTLY being done to meet the mission?
- q. What are the MAINTENANCE AGREEMENTS and costs?
- r. What accessories or ADDITIONAL ITEMS (Furniture, Communications, etc.) are needed to complete the purchase or make the item usable?
- s. What WAIVERS are needed?

7. **Points of Contact.** The point of contact for this document is the MNC-I JARB Cell at DSN 822-3293 or via CENTRIX at [MNCI\\_C4\\_JARB\\_CELL@centcom.mcfi.cmil.mil](mailto:MNCI_C4_JARB_CELL@centcom.mcfi.cmil.mil).

# MNC-I JARB Flow Chart



Joint Acquisition Review Board  
Vehicle/Equipment Lease Worksheet  
(To accompany JARB Package)

Lease type (New, Renew, Continuation, or Increase)*	
# Personnel in Unit (for tactical units use Brigade equivalent or higher)	#
#Leased Vehicles/equipment presently on hand in unit	#
#Tactical Vehicles/equipment presently on hand in unit	#
Vehicles/Equipment requested in the JARB (QTY#)	Type/Make/Model: A (1) Type/Make/Model: B (1) Type/Make/Model: C (1)
Total Cost of JARB Package (include Maintenance if being contracted)	\$
Total Cost of Lease by item (excluding Maintenance)	\$ A \$ B \$ C
Purchase Price of each item	\$ A \$ B \$ C
Previous cost of leasing this item (for renewal of same item)	\$ A \$ B \$ C
Total # of months that this item has been Leased (by item)	A #months B #months C #months

Mitigation Strategy for 20% reduction in requirement (rounded up to next whole Vehicle):  
*Insert Text*

Mitigation Strategy for 50% reduction in requirement (rounded up to next whole Vehicle):  
*Insert Text*

\*Note: **New Lease** is when there is no lease in place and one is to be started.

**Renewal of lease** is when one exists and the JARB is to accept an option to extend the lease of the current equipment within the same scope

**Continuation of services** is when one exists and the JARB is to start a new contract for the same level and scope of the existing contract but with new equipment.

**Increase** is when a lease is in place and it is going to be renewed with an expansion of services.

Attachment 1

# Theater Procured Equipment (TPE)

DATE: \_\_\_\_\_

MEMORANDUM FOR Chief of Staff, Multi National Corps-Iraq, Camp Victory, Iraq .

SUBJECT: Acknowledgement of Theater Provide Equipment Status

1. REFERENCE. Money As A Weapon System – MNC-I CJ8 SOP, Appendix H dated 01 June 2006 or current version.

## 2. STATEMENT.

The undersigned acknowledges that the procurement of the equipment, supplies and services acquired in JARB/C6VB/JFUB Packet # \_\_\_\_\_ is for the expressed use of organizations in Iraq ISO Operation Iraqi Freedom and is designated Theater Provided Equipment (TPE). This acquisition will remain in Iraq and not be removed from Iraq without the expressed written consent of the CofS, MNC-I.

3. POC. The point of contact for this memorandum is the undersigned at DSN 318-822-3277.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*NOTE: This memorandum is required in every MNC-I Requirements Validation package and will be signed by a Colonel O-6 or equivalent.*

Attachment 2

**ANNEX 2**  
**TO**  
**APPENDIX H**  
**JOINT FACILITY UTILIZATION BOARD (JFUB)**  
***Policies and Procedures***

**1. JFUB JURISDICTION**

- a. Military Construction (MILCON) projects: This includes projects seeking Contingency Construction Authority (CCA).
- b. Operation and Maintenance Army (OMA)-funded projects:
  - 1) New minor construction from \$200 K to \$750 K.
  - 2) Construction to correct a life, health and safety shortfall from \$200 K to \$1.5 M.
  - 3) Repair projects:
    - (a) Repair projects from \$200 K to \$3.0 M will be approved by MNC-I COS via the JFUB.
    - (b) Repair projects from \$3.0 M to \$7.5 M must be submitted to and validated by the JFUB and forwarded to FORSCOM for approval. This is not a fast process and is not recommended for urgent requirements.
- c. Existing leases or new real estate leases to expand existing bases or to create a new base. If the lease is for property already occupied greater than 30 days due to operational requirements and is not associated with a base expansion or creation see MNC-I FRAGO 292 Date 22 March 2006 on Retroactive leases (Refer to paragraph 4.d for existing or new leases).
- d. Logistics Civil Augmentation Program (LOGCAP) construction: Overall approval for LOGCAP services will still be handled by the JARB. Any request that involves \$200,000 or more in construction, including subcontracted construction for the purpose of leasing, will be handled by the JFUB. If the construction portion of the request exceeds current MILCON thresholds as outlined in paragraph 1.B, then the construction will be submitted as a complete JFUB package as outlined in paragraph 2, along with a properly completed DD Form 1391. Once the construction project has received MNC-I approval, the requirement will be incorporated into the MNC-I Prioritized MILCON Project List. MILCON projects will be prioritized using the MNC-I MILCON Scoring Model.

## 2. JFUB PACKAGE REQUIREMENTS

a. JFUB packages should use existing documentation wherever possible to avoid additional effort. For example, the Statement of Work (SOW) required as part of the JFUB package will be the same as the SOW provided to the project execution agency.

b. A complete JFUB package must have the name of the requesting unit and Major Subordinate Command (MSC) point of contact (POC); POC phone number; and POC SIPRNET and CENTRIXS e-mail addresses. This information can be included in the Letter of Justification or as a separate cover sheet. The JFUB package must also contain the following documents:

1) MSC endorsement – Command group O-6 or above signature. This is the endorsement of the supporting division commander (or brigade commander if a separate).

2) Funding document

(a) Operation and Maintenance (O&M) Projects: Use a PR&C (DA Form 3953) or MIPR (DD Form 448) as appropriate.

(1) PR&C signature authority: MNC-I CG. This authority will be delegated to the Chief of Staff. Use the appropriate signature blocks in place of those listed below.

(i) Signature block for PR&C

DONALD M. CAMPBELL, JR.  
Brigadier General, USA  
Chief of Staff

(b) MIPR signature authority is delegated to the G8/C8 comptroller.

(c) MILCON Projects: Use a DD Form 1391, Military Construction Project Data form. In a MILCON project the DD 1391 will replace the separate funding documents to include the statement of work and independent government cost estimate.

(d) LOGCAP Projects: For projects that the government wants the LOGCAP contractor to do that are not covered under the Basis of Estimate (BOE), the contractor's detailed cost estimate will suffice for the funding document and must include their labor cost.

3) Letter of Justification – The letter should address the following:

(a) What is the intended purpose of the project (how and when will it be used)?

- (b) What is the operational need for the project (legitimate mission requirement)?
  - (c) What is the impact if not funded (what will be the effect on the mission)?
  - (d) How the mission is currently being accomplished?
  - (e) Demonstrate compliance with Contingency Base Camp Standards, Figure 5.1, USCENTCOM Regulation 415-1 (01 Dec 04). Justification must be provided for any deviation from Sand Book standards.
  - (f) What alternatives were considered, and why were they insufficient to meet the requirement?
  - (g) What is the method of execution? You must consider your method of execution in this preferred order: Troop labor, host nation support, local contracting, or LOGCAP. If you eliminate a more preferred method of execution you must state why you are not using the more preferred method.
  - (h) Are there operation and maintenance costs involved with this project? Who will be accomplishing these O&M actions?
  - (i) How will Anti-Terrorism/Force Protection requirements addressed?
  - (j) Are there sufficient utilities on site (power, water, etc.)? If not, how will the utilities requirements be met?
  - (k) Are there any additional furniture and/or equipment needs?
  - (l) Is site prep and/or demolition work included in the project? If so, who will be accomplishing this work?
- 4) The SOW shall clearly describe the work and quality requirements of the deliverables. A separate SOW shall not be submitted for MILCON projects, as that is part of the DD Form 1391 data.
  - 5) An Independent Government Cost Estimate (IGCE) shall be included in sufficient detail to justify the funds requested. A separate IGCE will not be submitted for MILCON projects, as that is part of the DD Form 1391 data.
  - 6) Base Camp Mayor endorsement. This memo must include:
    - (a) A work classification determination by the camp DPW, IAW Department of the Army Pamphlet 420-11, Project Definition and Work Classification.
    - (b) A statement that the project is in line with the base camp master plan.
    - (c) A statement that the project has been reviewed and found acceptable by the Base Camp Mayor. The Base Camp Mayor or designated alternate will sign this memo.

- 7) Environmental Review: A statement must be included verifying that the project has been reviewed by the Environmental Compliance Officer, and that there are either no environmental issues related to the project or the real estate involved, or that there are environmental issues and these issues must be listed and explained.
- 8) Legal review memo:
  - (a) Must identify any legal objections.
  - (b) Must state that the funding source is appropriate for the request IAW the applicable section of Title 10, U.S. Code.
- 9) Communication review memo (if required) from your unit Communication section must address the following if project contains communication requirements:
  - (a) Is the requested number of phone and/or data lines/drops appropriate?
  - (b) Can requested services be supported?
  - (c) Verify that physical security and information assurance requirements will be met if classified systems are part of the request (SIPRNET, CENTRIXS, DRSN, etc.)
- 10) Location plan showing location of project on base. The location plan should be taken from the base camp master plan map, showing the project in relation to existing buildings and any future planned buildings.
- 11) Sole source justification if required (approved by local contracting office.)

c. For JFUB packages submitted by the LOGCAP contractor the following requirements are needed above the 11 documents listed above:

- 1) Requirements Letter: This letter is from the LOGCAP Support Unit Detachment – Iraq and verifies that the project is a valid requirement based on the LOGCAP contract SOW.
- 2) Funding Verification Letter: This letter is from the LOGCAP Deputy Program Director – Iraq and verifies whether or not the proposed project is covered under the BOE. If the proposed project is covered by the BOE then no additional funding is required and the funding verification letter will take the place of the required funding document.

d. For existing leases or new leases for base expansion or creation the unit provides supporting documentation found in the General Lease Instruction sheet located on the MNC-I C7 SIPR web site <http://sps.iraq.centcom.smil.mil/c0/facilities/default.aspx>. Under the facilities section click on the JFUB link then references link. Once the General Lease Instruction sheet is filled out this information is provided to GRD Contingency Real Estate Team (CREST) at [CERGRD.RE@TAC01.USACE.ARMY.MIL](mailto:CERGRD.RE@TAC01.USACE.ARMY.MIL). CREST will assist in providing a cost estimate for the lease. The unit will use the cost estimate for the lease to complete the PR&C (DA 3953) funding document needed in the JFUB. Once all necessary documents are completed for the JFUB, submit the packet to the MNC-I C7 for CoS

approval. If approved the unit will forward a signed copy of the PR&C to CREST who will then process the lease.

e. Submission of an incomplete package will result in that package being returned without action by the JFUB.

### **3. JFUB PROCESS**

a. The supporting MSC sends a complete JFUB package via e-mail to the JFUB Cell.

b. The JFUB Cell reviews the submittal for completeness and if it is correct; staffs the package for C7 endorsement.

1) Incomplete submittals will be returned to the supporting MSC JFUB POC with comments. The MSC or the requesting units may revise and resubmit packages to the JFUB Cell IAW established procedures.

2) Complete package are entered into the status log and prepared for staffing.

c. After C7 staffing, the JFUB Cell e-mails the package to all JFUB members. JFUB members review the package within 48 hours of receipt and note their concurrence or non-concurrence on the routing sheet. Comments will be provided by the board member when non-concurring with a package. The board members will electronically return the routing sheet to the JFUB Cell.

d. The JFUB Cell tallies the concurrence and non-concurrence votes and consolidates all documentation. A recommendation for approval or disapproval is made, based on the concurrence/non-concurrence tally. The JFUB Cell sends the consolidated package to the C7 Deputy Commander within 24 hours of receiving the last member review.

e. The C7 Deputy Commander forwards the consolidated package with recommendation to the MNC-I Chief of Staff for staffing through the command group.

f. The MNC-I CG or designated alternate approves or disapproves the package. The packages are returned to the JFUB Cell.

1) Approved minor construction and repair project packages are forwarded to MNC-I C8 and returned to the MSC for funding action.

2) Approved MILCON packages are incorporated in the MNC-I prioritized MILCON Project List for submission during the next MILCON cycle. See Section 4, Military Construction (MILCON) Project Process for more information.

3) Disapproved packages are annotated to indicate the reason(s) for disapproval and to recommend further action. The JFUB Cell then returns the package to the MSC.

#### **4. MILITARY CONSTRUCTION (MILCON) PROGRAMMING PROCESS**

##### **a. Planned MILCON Projects.**

- 1) The JFUB will no longer formally solicit the submission of MSC MILCON projects on a quarterly basis or put out the quarterly project call the first week of every calendar quarter. Instead, all MILCON requirements will be obtained via the normal JFUB process submitted by the MSC at anytime throughout the year.
- 2) MSC will provide a complete JFUB package as detailed, including properly completed DD Form 1391 for each new individual MILCON project.
- 3) MSC will provide a prioritized list of all unfunded MILCON projects previously approved by the JFUB as required.
- 4) The JFUB Cell will staff MILCON projects through MNC-I COS like any other construction requirement.
- 5) Once the DD Form 1391s/MILCON JFUB packages have been reviewed and approved, the JFUB Cell will incorporate MILCON requirements into the MNC-I Prioritized MILCON Project List. MILCON projects will be prioritized using the MNC-I MILCON Scoring Model.
- 6) Once all MILCON projects have been prioritized, approved by MNC-I COS, and forwarded to meet a Higher Headquarters (HHQ) data call, the updated MNC-I Prioritized MILCON Project List and new DD Form 1391s will be posted to the MNC-I C7 SIPRNET Portal website.
- 7) The JFUB will forward the MNC-I Prioritized MILCON Project List with recommendations to MNC-I COS on or around 15 September of every year, with the goal of receiving approval for the list by 30 September of every year.
  - (a) The MILCON program is an annual process. Actual submission dates fluctuate from year to year, however, CLFCC C7 historically calls for the MNC-I project list early in the first quarter of the new Fiscal Year.
  - (b) MNC-I CG approval of the MNC-I Prioritized MILCON Project List by 30 September will ensure timely submission of MILCON requirements to CFLCC C7. It also provides time to deconflict CFLCC priorities with MNC-I priorities.
- 8) Upon notification from CFLCC C7, the JFUB Cell will forward the most up-to-date MNC-I Prioritized MILCON Project List that has been approved by MNC-I COS.

##### **b. Contingency Construction Authority (CCA).**

- 1) Contingency Construction Authority is a fiscal authority that allows the use of OMA funding for projects that would otherwise require MILCON. Projects seeking CCA will be handled on a case-by-case basis. If a MSC wishes to seek CCA for a project, it should submit the request to the JFUB Cell at the earliest opportunity.

- 2) In addition to meeting all submission requirements detailed above, the CCA request packages must include a CCA request letter.
- 3) Contingency Construction Authority requests will be processed in the most expeditious manner possible.

## **5. REQUESTING ADDITIONAL FUNDS FOR A PREVIOUSLY APPROVED O&M PROJECT**

a. If a project encounters a situation where funds or scope increases are necessary, the following processes will be followed:

- 1) If there is a scope increase the project must be resubmitted as a new JFUB.
- 2) Funds increases up to a cumulative 125% of what was originally programmed:
  - (a) Unit will submit a letter of justification, a new/revised legal review memo, and endorsement from contracting authority (pre-award) or project manager (post-award) to their supporting commander's JFUB POC.
  - (b) If the supporting commander validates the requirement, then the MSC will endorse the supplemental request package and forward the request to the JFUB Cell for action.
  - (c) Review and approval/disapproval of fund increases up to 125% of original programmed cost is made by the JFUB Chairman (Director, MNC-I C7).
- 3) Funds increases over 125% of what was originally programmed:
  - (a) If the need for additional funds exceeds 125% of what was originally programmed occurs prior to project execution, the project will be cancelled and a new JFUB package will be generated and submitted as a new requirement.
  - (b) If the need for additional funds exceeds 125% of what was originally programmed occurs after the project has already started, the submitting unit will submit an updated JFUB package using the original package posted on the JFUB web page. The revised package must include a letter of justification, a revised legal review memo, and endorsement from the project manager. Other applicable documents (SOW, IGCE, location, etc.) must also be updated.
  - (c) The revised JFUB package should be forwarded to the supporting commander's JFUB POC. If the supporting commander endorses the cost increase, then the MSC will forward the request to the JFUB Cell for action.
  - (d) Review and approval/disapproval of funds exceeding 125% of original programmed cost is made by the MNC-I COS.

## 6. JFUB CELL POINTS OF CONTACT:

JFUB Cell Manager: LCDR Stu Blair  
DSN: 318-822-3846  
DNVT: 302-242-0195  
NIPRNET: [stuart.blair@iraq.centcom.mil](mailto:stuart.blair@iraq.centcom.mil)  
SIPRNET: [stuart.blair@s-iraq.centcom.smil.mil](mailto:stuart.blair@s-iraq.centcom.smil.mil)  
CENTRIX: [stuart.blairt@centcom.mcfi.cmil.mil](mailto:stuart.blairt@centcom.mcfi.cmil.mil)

JFUB Cell POC: 1Lt Lemuel Rios  
DSN: 318-822-3846  
DNVT: 302-242-0195  
NIPRNET: [lemuel.rios@iraq.centcom.mil](mailto:lemuel.rios@iraq.centcom.mil)  
SIPRNET: [lemuel.rios@s-iraq.centcom.smil.mil](mailto:lemuel.rios@s-iraq.centcom.smil.mil)  
CENTRIX: [lemuel.rios@centcom.mcfi.cmil.mil](mailto:lemuel.rios@centcom.mcfi.cmil.mil)

## **ANNEX 3**

### **TO**

## **APPENDIX H**

### ***C6 VALIDATION BOARD (C6VB) Policies and Procedures***

#### **APPENDIX 6 TO ANNEX K (C4 COMMUNICATIONS) TO MNC-I OPORD 06-02 (STANDARD OPERATING PROCEDURES) (U)**

(U) C6 VALIDATION BOARD (DRAFT)

1. **(U) PURPOSE:** This memorandum provides guidance for the purchasing of communications equipment by Multi-National Corps – Iraq (MNC-I) while in the Iraqi Theater of Operations.
2. **(U) REFERENCES:**
  - A. (U) MNC-I FRAGO 001 01 APR 05 DTU [Joint Acquisition Review Board], 020116DAPR05
  - B. (U) MNF-I Communications Information Systems Standard Operating Procedures, 121651CMAR04, to MNC-I OPORD 03-036
  - C. (U) MNC-I C6 Guidance For Purchasing Communications Equipment in the Iraqi Theater of Operations, 02 Apr 2005
  - D. (U) DA Message: Operational Purchases/Leases of Communications Equipment and Systems, 011601ZFEB05
  - E. (U) MNC-I C6 Validation Board Guidance, 02 Apr 2005
  - F. (U) MNF-I Communications Information Systems Standard Operating Procedures, 121651CMAR04, to MNC-I OPORD 03-036
  - G. (U) Standard Operating Procedure, C3 Force Management Division, 1 November 2004
3. **(U) Definition.** The C6 Validation Board (C6VB) recommends Approval/Disapproval to the Designated Approving Authority (DAA), the MNC-I Chief of Staff (CoS). The C6VB is a MNC-I level board that reviews all purchase requests for communications equipment or services by MNC-I units using OMA funds.
4. **(U) Approval Levels.** Up to four command levels are required to approve purchase of communications equipment and services within the Iraqi Theater of Operations. Each higher level command requires the approval of the subordinate command before the request is reviewed. These four command levels are:
  - A. (U) The Department of the Army (DA)
  - B. (U) The Coalition Forces Land Component Command (CFLCC)
  - C. (U) The Multi-National Corps – Iraq (MNC-I)
  - D. (U) Major Subordinate Command (MSC)
5. **(U) DA Level Acquisitions.** In accordance with Reference D, a small subset of equipment requires DA approval before the equipment and services may be purchased by the MSC. To meet this requirement, an Operational Needs Statement (ONS) must be submitted through

the MNC-I C3 Force Management Division. The ONS requires CFLCC endorsement before it is routed to DA. Below is a list of communications equipment that requires DA approval:

- a. (U) Any L, KU, or TRI Band commercial satellite system or service (e.g. Iridium, Thuraya, INMARSAT)
  - b. (U) Any radios, to include single/multi channel radio sets (e.g. UHF FM, VHF FM, HF AM, Tactical Satellite, and Squad Radios)
  - c. (U) Information assurance/computer network defense hardware and software (e.g. firewalls, intrusion detection systems)
  - d. (U) Communications Security (COMSEC) Equipment (e.g. KG-175, KIV-19, etc.)
  - e. (U) Any Information Technology support team that requires commercial and/or civilian contractor support
6. **(U) MNC-I Level Acquisitions.** In accordance with Reference E, some communications equipment require approval by MNC-I prior to purchase. The MNC-I's C6 Validation Board (C6VB) is the official processes to review and validate these purchases. The policy section of Appendix A lists items requiring C6VB approval prior to purchase (paragraph 10).
7. **(U) MSC Level Acquisitions.** All communications equipment not discussed previously falls into this category. The purchasing of communications equipment must comply with the guidance and policies of the respective MSC.
8. **(U) Acquisition Process.** The role of the MNC-I C6 depends upon the required acquisition level of the equipment or service. The following list outlines the role of MNC-I C6 for each acquisition level:
- a. (U) DA Level Acquisitions – The requesting unit prepares and submits an ONS to the MNC-I C3 Force Management Division in accordance with Reference D. The MNC-I C3 Force Management Division will staff the ONS through MNC-I, to include the office of the C6, and solicit feedback. The ONS will then be forwarded to CFLCC and DA. All DA level acquisitions require approval from the MNC-I C6VB before purchase. The C6VB Packet and the ONS can be staffed in parallel. However, no equipment can be purchased until the C6VB Packet has been approved by the C6VB and the ONS has been approved by DA.
  - b. (U) MNC-I Level Acquisitions – The requesting unit must submit the completed packet to C6VB Cell **NLT 1500hrs Wednesday** to be included in the following Monday's C6VB. Packets submitted after the 1500 deadline will not be included in the following Monday's agenda for consideration, and will be delayed one week. Units can reference information concerning the required contents for a complete packet in the C6VB checklist section of this instruction (Tab A) or on the C6VB SIPR portal site at: <http://sps.iraq.centcom.smil.mil/C19/C4/C6%20Validation%20Board/default.aspx> . Once the packet is complete, units must send the completed packet to:  
  
SIPR: [MNC-I C6VB@iraq.centcom.smil.mil](mailto:MNC-I C6VB@iraq.centcom.smil.mil).  
Units may also submit packets in hardcopy personally to the C6VB Action Officer in C6.
  - c. (U) MSC Level Acquisitions – MNC-I C6 does not have a formal role in this process unless requested by the unit.

## 9. (U) General.

- a. (U) The primary function of the C6VB is to recommend approval, deferral, or disapproval of communications related requirements to the MNC-I CoS.
- b. (U) All units requesting funding for communications equipment or services must establish an internal review board to validate the requirement to be sent before the C6VB for consideration. The organization of this internal board is the unit's responsibility; however, some type of review should be conducted prior to the submission of packets to the MNC-I C6VB.

## 10. (U) Policy.

- a. (U) To fund requirements, Major Subordinate Commands (MSC), Direct Reporting Units (DRU), and Units/Organizations supported by Multi-National Corps-Iraq (MNC-I), will submit all required documents to the MNC-I C6 Validation Board (C6VB). The C6VB will review all communications and information system requirements and any requirements that must, by regulation or policy, be approved by the commander of MNC-I. Communications and information systems requirements include, but are not limited to, the following items:
  - (1) (U) Cellular Phones (e.g. MCI, IRAQNA, ASIA-CELL, ATHEER)
  - (2) (U) Satellite Phones (e.g. Iridium, Thuriya, INMARSAT)
  - (3) (U) Computers (e.g. laptops, desktops)
  - (4) (U) Network Equipment (e.g. servers, routers, switches)
  - (5) (U) COMSEC Equipment (e.g. KG-175, KIV-19)
  - (6) (U) Satellite Communications Systems
  - (7) (U) Internet Related Services (e.g. MWR, Operational)
  - (8) (U) Radios (e.g. Hand-Held, Vehicle Mounted)
  - (9) (U) Modified Table of Organization and Equipment Items (e.g. AN/PRC-150, RT-1523)
  - (10) (U) VTC Suite Equipment (e.g. VTC Codec, camera, monitor)
  - (11) (U) Contracted labor (e.g. Field Service Representatives)
  - (12) (U) Blanket Purchase Agreements (BPA) pertaining to communications and information technology
  - (13) (U) Any printers or copiers that cost more than \$2,500
  - (14) (U) Any ancillary communications equipment purchase that costs greater than \$10,000 (e.g. VOIP Phones, supporting radio equipment, modems)
  - (15) (U) Any software intended to run on government equipment
- b. (U) If the requirement doesn't fall into one of the above categories then packet will require JARB approval (See Reference A for policy). Any communications requirement from an MSC that incorporates elements that are not communications related (i.e. construction of anything that would support communications but in itself doesn't require any communications assets will have to go through the JARB for approval). Any request for communications assets that includes non-communications requirements will have to be approved by the C6VB and the MNC-I JARB.

- c. (U) All submissions to the C6VB will be properly staffed and endorsed through the chain of command up to their MSC or DRU level. In addition, the MSC or DRU S6/G6/C6 must endorse the requirement.

**11. (U) Board Composition.** The C6VB will be comprised of representatives from all elements within MNC-I that have expertise or direct knowledge of communications equipment and current operational requirements within the Iraqi Theater of Operation. The board will consist of the following personnel:

- a. (U) MNC-I C6 Deputy. The Deputy C6 is the designated chairman of the board. The chair is responsible for the conduct of the board and may defer a packet at anytime and will vote only to neutralize a tie. The chair has final recommendation decision authority.
- b. (U) MNC-I C6 Information Systems Division (ISD) Chief. The Chief of ISD, or a representative, serves as the alternate chairman. Additionally, the individual is a voting representative who will review the C6VB packets for compliance with MNC-I interoperability and standardization.
- c. (U) MNC-I C6 Chief of Plans. Provides a voting representative who will review packets for compliance with MNC-I C6 current and future plans.
- d. (U) MNC-I C6 Requirements Officer. Is a voting representative who will review packets for compliance with MNC-I communications support capabilities.
- e. (U) MNC-I C6 Chief of Operations. Provide a voting representative who will review C6VB packets for compliance with MNC-I operations.
- f. (U) MNC-I Signal Brigade. Provide a knowledgeable field grade officer as a voting representative to review packets for compliance with installation, operations, and maintenance of voice and data communications.
- g. (U) MNC-I Staff Judge Advocate (SJA). Provide a knowledgeable officer to validate C6VB requirement documents and be a non-voting advisor to the C6VB. The requirement may be fulfilled by providing a letter accompanying each packet stating that a legal review was conducted and no problems exist in regards to its legality.

**12. (U) C6VB Process.**

- a. (U) Once a unit identifies a requirement that cannot be filled through the standard Army retail supply system, internally or through other MNC-I resources, the unit completes a Validation Board Packet as outlined in Tab A.
- b. (U) MSCs will submit the required documents to their own internal acquisition review board (ARB). The MSC ARB will review all required documents and provide appropriate endorsements. MSCs commanded by a general officer will submit the approved requests, with a Chief of Staff (CoS) endorsement. All other MSCs will submit the approved requests with a commander's endorsement.

- c. (U) The units are responsible for allowing adequate time and access to the required personnel to resolve possible issues/questions before the C6VB board meeting.
- d. (U) The C6VB meets at 14:30 hrs every Monday in the first floor C6 conference room in the Al Faw Palace, Camp Victory South. Units are required to present their proposal at the C6VB in person or via phone. If questions arise and there are no representatives present and the POC cannot be contacted telephonically, then the packet will be deferred until the next C6VB meeting.
- e. (U) When a physical appearance before the C6VB is impractical due to excessive distance, scheduling, transportation or security issues, the C6VB has the ability to connect via conference call. Contact the C6VB Cell for prior coordination if this is necessary at DSN 318-822-2513.
- f. (U) Units will be notified at the C6VB as to the outcome of submitted packets. Deferred and disapproved packets can be revised by units and re-submitted to the C6VB at the unit's convenience.
- g. (U) Once approved by the C6VB, the packet is then forwarded to the MNC-I CoS for review and endorsement. The MNC-I CoS may approve, defer, or disapprove the packet. The MNC-I CoS will review the packet information, render his decision, and sign the appropriate funding documents.
- h. (U) Approval by the MNC-I C6VB and the MNC-I CoS does not mean that the requirement is funded. Funding is a separate process, IAW MNC-I FRAGO 1367. The C6VB Action Officer forwards MNC-I CoS C6VB packets to MNC-I C8 and the requesting unit for inclusion in their next monthly spend plan submission.
- i. (U) Given the dynamic contingency environment in which the MNC-I C6VB operates, emergency situation may arise that make waiting until the next C6VB meeting infeasible. For those special situations, the C6VB has the ability to conduct an electronic vote (E-Vote) in which all the voting members of the C6VB individually review the customer's packet and e-mail their votes to the C6VB officer, where they are tallied and the paperwork is prepared for the MNC-I CoS review and signature. The E-Vote method is the least desired method for packet consideration as it does not allow for the interactive exchange of dialogue nor permit the unit the opportunity answer all of the board's questions on-the-spot. The C6VB members, all of whom bring unique and varied experiences to the table, engage in discussions with requesting units that ultimately benefit the customer, the MNC-I mission and the U.S. taxpayer. MNC-I Deputy C6 approval is required before the C6VB cell will conduct an E-Vote.

## **TAB A (C6VB PACKET CHECKLIST) TO APPENDIX 6 (C6VB) TO ANNEX K (C4 COMMUNICATIONS) TO MNC-I SOP**

### **(U) MNC-I C6 VALIDATION BOARD (C6VB) PACKET CHECKLIST**

**\*NOTE: ALL OF THE FOLLOWING MUST BE INCLUDED AND SIGNED BY THE CORRESPONDING AUTHORITY SIGNIFYING THAT THE FOLLOWING QUESTIONS HAVE BEEN ASKED AND THE REQUEST IS STILL APPROPRIATE:**

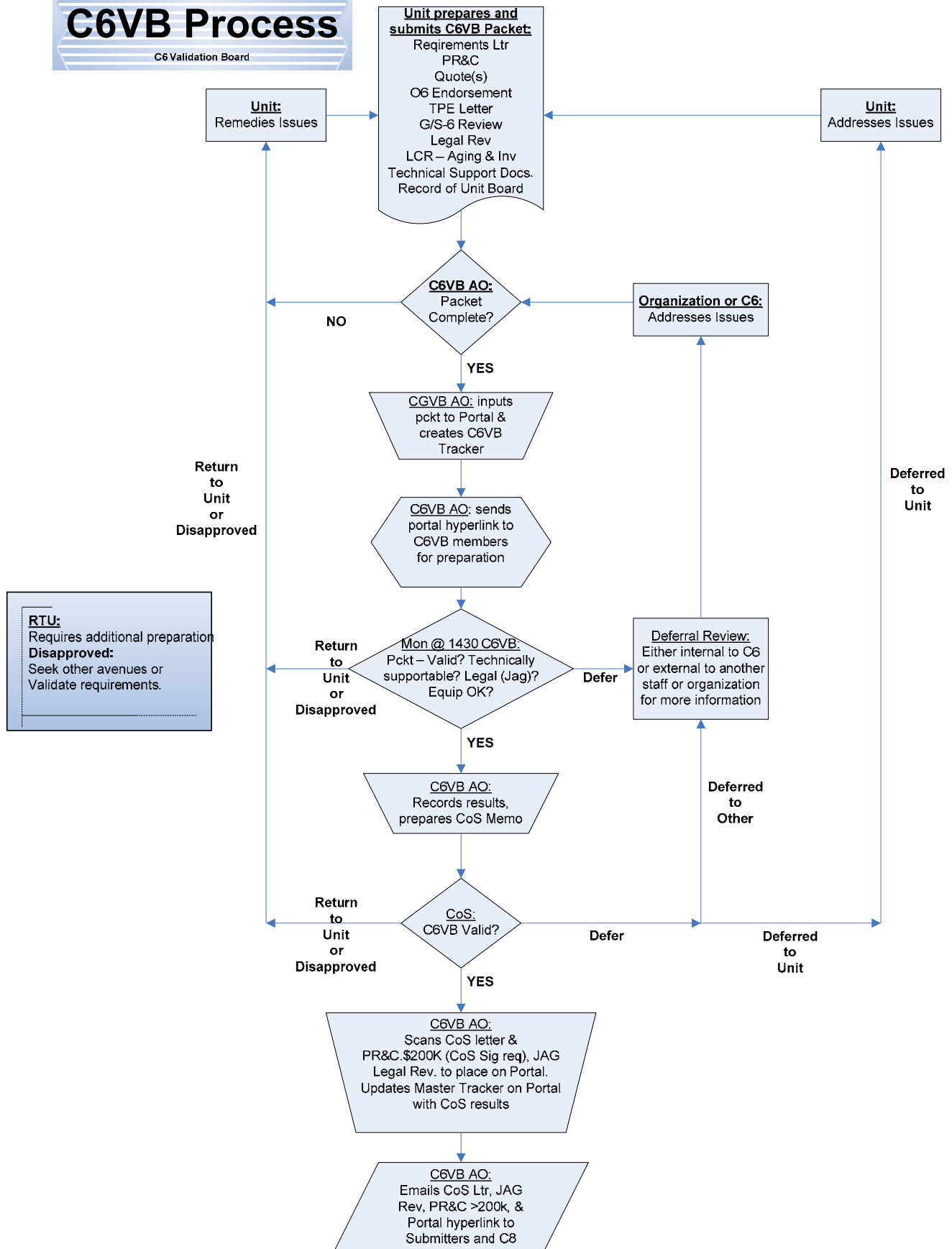
1. (U) The item and quantity requested are appropriate.
  2. (U) This represents a consolidated request of all known deficiencies of similar requirements at this time.
  3. (U) The item or support requested is the standardized answer to a recurring deficiency. This may require staffing through the corresponding staff element to ensure units are not trying to reinvent the wheel and that interoperability of systems is achieved whenever practicable.
  4. (U) The deficiency cannot be addressed through internal realignment of assets (i.e. transferring laptops from one battalion to another, or underutilized systems from one unit to another, within the same chain of command).
- ☐ **\_\_\_\_ LETTER OF JUSTIFICATION.** Must be signed by Battalion Commander (NO DELEGATION OF AUTHORITY ). A Sample Letter of Justification is included below.
  - ☐ **\_\_\_\_ LETTER OF ENDORSEMENT.** Must be signed by Brigade Commander or higher (NO DELEGATION OF AUTHORITY).
  - ☐ **\_\_\_\_ LETTERS OF ENDORSEMENT.** May be necessary from any Brigade level staff section with oversight of requested items or service (i.e. MSC S6/G6/C6).
  - ☐ **\_\_\_\_ FUNDING DOCUMENT**
    - **\_\_\_\_ PURCHASE REQUEST & COMMITMENT (PR&C DA 3953 FORM).** Must be completed and include O-6 or above signature in block #34 if total dollar value less than \$200,000.00. If total dollar value of request is \$200,000.00 or greater, then block #34 should have:
      - DONALD M. CAMPBELL JR, BG, USA, CoS, MNC-I
    - **\_\_\_\_ MILITARY INTERDEPARTEMENTAL PURCHASE REQUEST (MIPR FORM DD448).** Must be completed and include O-6 or above signature in block #16 if total dollar value less than \$200,000.00. If total dollar value of request is \$200,000.00 or greater, then block #15 should have:
      - DONALD M. CAMPBELL JR., BG, USA, CoS, MNC-I
  - ☐ **\_\_\_\_ COST DOCUMENTATION.** Documentation from a vendor which includes the cost of the product or service (three competitive quotes preferred).
  - ☐ **\_\_\_\_ LEGAL REVIEW.** Requestor must route their request through their legal office and include a concurring legal review.

- ❑ \_\_\_\_ **STATEMENT OF WORK (SOW) and CONTRACT.** Necessary whenever services are required. Requestor must work closely with local Contracting Office to generate a Statement of Work.
- ❑ \_\_\_\_ **SOLE SOURCE JUSTIFICATION.** Necessary if unit wants to use a specific vendor. Requestor must work closely with local Contracting Office to determine if requested item or service meets legal requirements for sole source procurement. (NOTE: NO REQUESTING UNITS ARE AUTHORIZED TO SOLICIT BIDS)
- ❑ \_\_\_\_ **SUPPORTING DOCUMENTATION.** Unit should include any supporting documentation in order to clarify and validate what is being requested, where it will be placed (i.e. diagrams, maps, pictures, fielding plan, distribution plan), or why it is necessary. Requests for lifecycle equipment replacement must include an aging document and provide supporting documentation of equipment population IAW:  
[http://sps.iraq.centcom.smil.mil/C12/ISD/Document%20Library/Policies%20and%20Regulations/LIFE\\_CYCLE\\_MANAGEMENT\\_DTU\\_Corrected\\_30%20APRIL%2006.doc](http://sps.iraq.centcom.smil.mil/C12/ISD/Document%20Library/Policies%20and%20Regulations/LIFE_CYCLE_MANAGEMENT_DTU_Corrected_30%20APRIL%2006.doc)
- ❑ \_\_\_\_ **MONEY AS A WEAPON MEMORANDUM.** O6 acknowledgement by the Commander or Staff Primary that utilization of OMA funds must be used only for equipment which will be placed upon the unit's property book and serve as stay behind equipment (SBE).

10/17/2006

# C6VB Process

C6 Validation Board



**Sample Letter of Justification for C6 Validation Board Request:**

UNIT LETTERHEAD

*UNIT SYMBOL*

*DATE*

MEMORANDUM FOR ASSISTANT CHIEF OF STAFF C6, MNC-I

SUBJECT: LETTER OF JUSTIFICATION FOR (WHATEVER YOU ARE TRYING TO PURCHASE/ACQUIRE).

1. **PURPOSE.** UNIT requests approval to purchase WHAT in support of Operation Iraqi Freedom. (Brief Description of what you want)

2. **DISCUSSION.**

- A. The five W's must be answered – Who, What, When, Where, Why. WHO needs the items, WHAT is their mission and what will the items be used to do, WHEN do they use the items (frequency), WHERE do they use the items (is climate, dust, sand, rain, or terrain a factor), WHY can the unit not accomplish their mission without the item requested.
- B. The unit must include the current distribution of requested and similar items (i.e. if unit requests NTVs, they must also show distribution of tactical vehicles and gators/ATVs, or if unit requests radios, they must also show distribution of other communication systems).
- C. The proposed distribution of requested items.
- D. Why does the unit need the specific item requested? If it should be sole sourced, why? Are there certain specifications that need to be considered?
- E. Are there any other viable options? Is it possible to accomplish the mission with any alternatives?

3. **IMPACT IF NOT FUNDED.** What is the impact if not funded? What part of the unit's mission will fail without the requested items or support?

4. **RECOMMENDATION.** Brief summary of exactly what the unit would like the C6VB to recommend approval of.

5. **POINT OF CONTACT.** Who should be contacted for any additional information that may be required? Be sure to include name, rank, title, phone number, and email address.

I.M. BOSS  
O-6 OR ABOVE  
Commanding

## ***APPENDIX I***

### **CORPS ACQUISITION MANAGEMENT PROGRAM (CAMP)** **STANDARD OPERATING PROCEDURES**

1 November 2006

#### **CONTENTS**

1. REFERENCES
2. INTRODUCTION
3. PURPOSE
4. RESPONSIBILITIES
5. KEY BODIES
6. TASKS TO SUBORDINATE UNITS

#### **1. REFERENCES**

- A. FRAGO 212 [21 FEB 06 DTU] TASK 10
- B. REQUIREMENTS VALIDATION SOP
- C. BUDGET PROCESS SOP

#### **2. INTRODUCTION**

The Multi-National Corps – Iraq (MNC-I) spends roughly \$2.5B a year in non-stock, Non-LOGCAP Operation and Maintenance Army (OMA) funding. The majority of this money goes towards service contracts that provide essential support for Operation Iraqi Freedom, including aviation and vehicle maintenance; IED detection and de-arming; unexploded ordinance clearance; intelligence, surveillance, and reconnaissance (ISR); information operations; life support services; and force protection. It is critical for the mission that these requirements not only be properly reviewed and validated up front but monitored through their execution to ensure they are providing the required service or product via the most advantageous means available.

#### **3. PURPOSE**

The Corps Acquisition Management Program (CAMP) supports this objective by facilitating communication among the requirement and contract management team, tracking key contracts and requirement performance measures, and implementing appropriate management controls.

The CAMP initiative has four primary objectives:

- Provide visibility and executive oversight of MNC-I acquisition operations
- Use the most efficient and effective acquisition vehicles available
- Fully resource our acquisition teams with trained and certified personnel
- Comply with all governing laws, regulations and policies.

#### **4. RESPONSIBILITIES**

**4.1. CAMP Administration.** Implementation and management of the CAMP initiative is the responsibility of the MNC-I CJ8 Acquisition Management Support Office (AMSO). The AMSO will:

- 1) Maintain policy and guidance for CAMP;
- 2) Schedule monthly and quarterly reviews;
- 3) Facilitate template completion and updates;
- 4) Advise requirement owners on acquisition activities and strategies.

**4.2. Requirement Owners.** Requirement owners for the purposes of this program are the MNC-I or Brigade staff personnel who are charged with the responsibility of overseeing the fulfillment of a requirement. Typical requirement owner duties include defining the requirement and writing the statement of work (SOW), developing and coordinating the requirements validation package, submitting funding requests for the requirement, working with the contracting office or program office to support contract award and contract oversight activities, and finally, maintaining oversight of the requirement and the funding as long as the requirement exists.

With respect to CAMP, requirement owners have the additional responsibilities of

- 1) Completing and maintaining CAMP templates for those requirements that meet the criteria of paragraph 6.1.5.1, and
- 2) Briefing the Monthly Review Board and the Quarterly Contracts Review Board.

**4.3. Budget Staff.** Budget staff personnel support accomplishment of CAMP objectives by supporting requirement owners in their completion of CAMP templates. Specifically, the CJ8 budget staff can assist with necessary information on spend plan requests, Military Interdepartmental Purchases Requests (MIPRs) and Purchase Request and Commitment (PR&C) documents. Budget staff personnel also assist in formulating strategies for the incremental funding of large requirements.

**4.4. Contracting / Execution Agency.** Various contracting agencies and program management offices are involved with the award and execution of contracts and larger acquisition programs to fulfill mission requirements. They support CAMP objectives through their acquisition/contracting services and by providing requirement owners information to help them manage their requirement. Successful fulfillment of a mission requirement depends on team work and cooperation of requirement owners, budgeting personnel, and execution agencies.

## **5. KEY BODIES**

**5.1. Requirements Validation Boards (JARB, C6VB, JFUB).** Requirement validation boards, while not formally part of the CAMP, are none-the-less critical to the success of the Corps' acquisition process. See the Requirements Validation SOP for further guidance.

**5.2. Monthly Review Board (MRB).** The MRB will consist of the CAMP director, the CJ8 Budget Officer, a member of the MNC-I SJA Procurement and Contract Law staff, and a representative from the Joint Contracting Command – Iraq/Afghanistan (JCC-I/A). This body will review the status of each contract and provide recommendations to the contract management team, the Comptroller, and the Chief of Staff on execution and acquisition strategy topics.

**5.3. Quarterly Contracts Review Board (QCRB).** Once a quarter each of the contracts and recommendations from the MRB will be presented to the Chief of Staff for review.

## **6. TASKS TO SUBORDINATE UNITS**

### **6.1. ALL MNC-I STAFF AND SEPARATE BRIGADES**

6.1.1. Requirement owners for all contracts will maintain oversight of their requirement to ensure it is being fulfilled and take appropriate actions to ensure the continued fulfillment of the requirement as long as it exists.

6.1.2. Requirement owners will communicate any problems to the cognizant contracting officer, contracting officers representative (COR), or program office representative.

6.1.3. Requirement owners will oversee funding requirements and execution to ensure the right amount of funding is committed to the contract. Any excess funds will be identified as soon as possible to the MNC-I CJ8 budget staff. Requirements for additional funding will be submitted to the appropriate validation board if necessary and coordinated with the CJ8 budget staff to ensure uninterrupted performance of the contract.

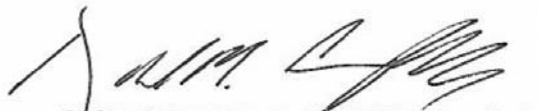
6.1.4. Requirement owners for contracts that meet the CAMP reporting criteria in the paragraph 6.1.5.1 will submit and maintain the templates at attachment A. Requirement owners will be available monthly to brief the monthly review board (MRB) and quarterly to brief the quarterly contracts review board (QCRB) on status and performance of their requirement.

6.1.5.1 CAMP criteria. Camp reporting is required for all contracts that are funded by MNC-I, have an expected performance period of 6 months or greater, and have an annualized value of \$5 million or more. In cases where a single

requirement is above \$5M but there are 2 or more contracts that are used to fulfill the requirement, reporting is required but the information can be consolidated into one set of templates.

**6.2. ALL MSCS.** All MSCs will establish their own acquisition management program to support CAMP objectives within their units. Criteria for oversight will not be less than that defined in this SOP but may be broadened at the MSC's discretion.

**7.0 Point of Contact.** To recommend changes to this SOP contact the CJ8 AMSO at DSN 822-3294.



DONALD M. CAMPBELL, JR.  
BG, U.S. ARMY  
Chief of Staff

ATTACHMENT  
CAMP Templates and Instructions (MS PowerPoint)

**ANNEX 1**  
**TO**  
**APPENDIX I**  
**Corps Acquisition Management Program (CAMP)**  
**Templates**

**1. Criteria for entering the CAMP Program**

- MNC-I Staffs and Separate Brigades
- Non-LOGCAP, active requirements for contractor services that meet the following criteria:
  - $\geq$  \$5M total annual cost (including options)
  - 6 month or longer Period of Performance
- MSCs / Divisions are directed to implement programs similar to CAMP; no reporting to MNC-I CJ8 is required at this time

**2. Procedures**



- Complete / Update program data monthly for presentation at:
  - Quarterly Contracts Review Board (QCRB) once every 3 months, this meeting is chaired by the MNC-I Chief of Staff
  - Monthly Review Board (MRB) the remaining two months of each quarter, this meeting is chaired by the Director, Acquisition Management Support Office
- CAMP data is maintained on the CENTRIX system in the form of PowerPoint briefing slides, see format details below
  - Non-CENTRIX users should contact the AMSO to make data update arrangements

**3. The POC** for the CAMP program is MNC-I CJ8: Director, Acquisition Management Support Office (AMSO) at DSN 318-822-3294.



## Slide Format Details

Data is divided into two categories, project description and financial information

## Project Description Slide

	<h1 style="margin: 0;"><u>MNC-I CJ8: CAMP</u></h1>	
<p><b><u>Contract Title, Unit</u></b></p>		
<p><b>Organization:</b> MNC-I Staff / Brigade</p>		
<p><b>Description of Product / Service:</b> Description</p>		
<p><b>Function:</b> Life Support, UXO Disposal, IT, Force Protection, ISR, Aviation Maintenance, Logistics Support, Cultural Advisor, etc.</p>		
<p><b>Contractor:</b> Company Name</p>		
<p><b>Significant Sub-Contractor (&gt; 20%):</b> Company Name</p>		
<p><b>Servicing Contract Office:</b> Servicing Agency, Agent Name, Phone, e-mail</p>		
<p><b>COR or Staff POC:</b> Name, Organization, Phone, e-mail</p>		
<p><b>Servicing RM:</b> Name, Organization, Phone, e-mail</p>		
<p><b>Total Contract Cost:</b> Total estimated cost with options</p>		
<p><b>Period of Performance:</b> Base and Options Periods of Performance</p>		
<p><b>Contract Number:</b> Contract Number</p>		
<p><b>Type of Contract:</b> BPA, CPAF, CPIF, FFP, FPIF, T&amp;M, Other</p>		

## Financial Data Slide

	<h1 style="margin: 0;"><u>MNC-I CJ8: CAMP</u></h1>	UNCLASSIFIED / FOUO CAMP #: CP010																													
<p><b><u>Contract Title, Unit</u></b></p>		<p><b><u>Date</u></b></p>																													
<div style="border: 1px solid black; padding: 5px;"><p style="text-align: center; color: blue;"><i>FY 07 Budget</i></p><table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 25%;">1<sup>st</sup> Qtr</td><td style="width: 25%;">2<sup>nd</sup> Qtr</td><td style="width: 25%;">3<sup>rd</sup> Qtr</td><td style="width: 25%;">4<sup>th</sup> Qtr</td><td style="width: 25%;">1<sup>st</sup> Qtr</td></tr><tr><td style="text-align: center;">\$4M</td><td style="text-align: center;">\$10M</td><td style="text-align: center;">\$21M</td><td></td><td></td></tr><tr><td colspan="2" style="text-align: center;">FY 06 Obligated</td><td colspan="3" style="text-align: center;">FY 07 Committed</td></tr><tr><td colspan="2" style="text-align: center;">FY 07 Obligated</td><td colspan="3" style="text-align: center;">FY 07 UR</td></tr></table></div>		1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	1 <sup>st</sup> Qtr	\$4M	\$10M	\$21M			FY 06 Obligated		FY 07 Committed			FY 07 Obligated		FY 07 UR			<div style="border: 1px solid black; padding: 5px;"><p style="text-align: center; color: blue;"><i>Overall Ratings</i></p><table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 25%;">Mgt / Tng</td><td style="width: 25%;">Budget</td><td style="width: 25%;">Cost</td><td style="width: 25%;">Perf</td></tr><tr><td style="text-align: center; background-color: green;">G</td><td style="text-align: center; background-color: yellow;">A</td><td style="text-align: center; background-color: green;">G</td><td style="text-align: center; background-color: red;">R</td></tr></table></div>		Mgt / Tng	Budget	Cost	Perf	G	A	G	R
1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	1 <sup>st</sup> Qtr																											
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Mgt / Tng	Budget	Cost	Perf																												
G	A	G	R																												
<div style="border: 1px solid black; padding: 5px;"><p style="text-align: center; color: blue;"><i>Management &amp; Training</i></p><p>COR Name:</p><p>COR Certification Date:</p><p>Issues:</p></div>		<div style="border: 1px solid black; padding: 5px;"><p style="text-align: center; color: blue;"><i>Performance</i></p><p>Quality:</p><p>Quantity:</p><p>Responsiveness:</p></div>																													
<p style="color: blue;"><i>Budget Execution</i></p>																															
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep																			
Current Funding (Cum)	\$4.0																														
Disbursements (Cum)	\$2.0																														
Balance	\$2.0																														
Funding Requested	\$10																														
<p><b>WAY AHEAD:</b></p>																															

UNCLASSIFIED / FOUO

### Instructions – Assessment Template

- Overall Ratings – Assign a color rating to each of the 4 areas based on the color definitions and guidelines on the following chart:
  - **Rating Areas:**
    - *Mgt / Tng* – Reflects status of the government management team
    - *Budget* – Reflects funding status and identifies if there are issues with running out of funding before new funding can be approved and applied
    - *Cost* – Indicates if contract costs are within or exceed expectations. Higher costs may also drive a *budget* issue.
    - *Perf* – Reflects contractor performance and whether or not the government requirement is being adequately satisfied.
  - **Guidelines:** Every contract is different so color definitions and rating guidelines should be used together

### Rating Definitions

**G** No significant issues

**A** Issues exist but corrective actions in work that are expected to resolve the issue

**R** Significant issues that require leadership attention

### Rating Area Considerations

#### Mgt / Tng

- Resources Assigned: CO, COR, RM
- Availability: Part-time, Full-time
- Training
- Experience
- Expected Turnover

#### Cost

- **Green** – Contractor at or under cost
- **Amber** – Contractor < 10% over cost
- **Red** – Contractor > 10% over cost

#### Budget

- **Green** – Sufficient funding for next 60 days
- **Amber** – Sufficient funding for 30 – 60 days
- **Red** – Funding for < 30 days

#### Performance

- **Green** – Contractor meeting requirements
- **Amber** – Contractor marginally meeting requirements
- **Red** – Contractor not meeting requirements

### Instructions – Assessment Template

- **FY 07 Budget (PR&C funding document)**
  - *FY 06 Obligated* – Funding was applied in FY 06 and bar should indicate when funds are expected to run out
  - *FY 07 Committed* – PR&C has been signed for FY 07 funding but not yet applied (obligated) on the contract (amount shown should equal amount on PR&C)
  - *FY 07 Obligated* – Contracting officer has modified the contract or task order to add FY 07 funding
  - *FY 07 UR* – Unvalidated Requirement for FY 07 funding
- **FY 07 Budget (MIPR funding document)**
  - *FY 06 Obligated* – Amount of funding that has been sent by MIPR to execution agency. If agency has returned funds then amount shown is only amount that agency will execute.
  - *FY 07 Committed* – Amount of funding validated through Joint Acquisition Review Board (JARB) or SuperCARB process that has not yet been sent by MIPR to execution agency.
  - *FY 07 Obligated* – Funding sent by MIPR to execution agency. If agency has returned funds then amount shown is only amount that agency will execute.
  - *FY 07 UR* – Unvalidated requirement for FY 07 funding.

## Instructions

- **Budget Execution**

- *Current Funding (Cum)*: Amount of funding applied to the contract. This number should stay the same or increase. If \$1M is applied in Oct and another \$1M added in Jan then the amount would be:

	Oct	Nov	Dec	Jan
Current Funding (Cum)	\$1M	\$1M	\$1M	\$2M

- *Disbursements or Invoices (Cum)*: This is the cumulative amount that has been spent. It uses the same logic and current funding, but will likely not have months without a disbursement. Unless there is a known billing issue, it is recommended that invoices be used when available. Any administrative costs charged by the execution agency (US Army Corps of Engineers for example) should be shown as disbursements or invoices in the first month of the contract.
- *Balance: Current Funding (Cum) – Disbursements (Cum)*. Equals amount of funding available at the end of the month.
- *Funding Requested* – Annotate funding desired / required and the corresponding month. This is listed by month and is not cumulative.

*Note* – This section should correlate with the **Budget Section**.

- **Way Ahead**

- Recommendation for any actions required to fix problems, e.g., JARB package submitted, funding requested on monthly spend plan, COR to be trained next month, contract to be terminated for default.
- Address any ratings below Green that haven't been adequately addressed

## *APPENDIX J*

### *OPERATION AND MAINTENANCE ARMY*

Operation and Maintenance Army (OMA) is quite simply the life-blood of daily operations. Everything U.S. forces do on the battlefield is either directly or indirectly influenced/supported by OMA.

1. **PURPOSE:** To outline policy, procedures, and responsibilities in the expenditure of U.S. Operation and Maintenance Army funds, to include the use of Purchase Request & Commitment documents, Field Ordering Officers, Government Purchase Cards, Military Interdepartmental Purchase Request, Temporary Duty Travel, the Commander's Coin Policy, Official Representation Funds, and the purchase of Special Interest Items. These procedures are applicable to non-stock fund expenditures for MNC-I in support of Operation Iraqi Freedom.

2. **GENERAL GUIDANCE/USES:** MNC-I fund OMA money for mission critical sustainment requirements that include supplies, equipment, administrative support, contract services, leased services, minor repairs, minor construction (less than \$750K), and travel expenses to enhance mission success.

a. Operations and Maintenance Army funding is appropriated by congress for the US Army to execute their Title X functions. The use of OMA is limited to those congressionally authorized activities for which funds are specifically appropriated. Unit and MNC-I resource managers are the first line of defense to ensure funds are used for the proper purposes. Specific questions on the appropriate use of OMA funds should be referred to the fiscal law experts in the Staff Judge Advocates office.

b. The availability of OMA funding is severely limited, as opposed to requirements which are virtually unlimited. Ensuring a process is in place to apply limited command funding to the highest priority requirements is the responsibility of the comptroller. We fulfill this role by ensuring a process exists whereby requirements are identified, reviewed, validated, prioritized and funded.

## *SUBMITTING YOUR UNIT MONTHLY SPEND PLAN*

1. PURPOSE: To provide guidance and establish procedures in submitting a prioritized unit spend plan for funding approval.

2. REFERENCES:

- a. USARCENT Resource Management Handbook, 1 January 2005
- b. MNC-I FRAGO 359 [19 APR 06 DTU] to MNC-I OPORD 05-03, Task 3

3. RESPONSIBILITIES: (See FIGURE 1)

- a. Commander determines the requirement for the unit.
- b. Unit must determine if the requirement necessitates JARB, JFUB, or C6VB Approval (see Requirements Validation SOP).
- c. If the requirement does need JARB, JFUB, C6VB approval, packet is submitted to the appropriate board for validation (see the Requirements Validation SOP for validation board requirements). Once validated, the requirement can then be placed on the unit spend plan and compete for funding.
- d. If the requirement does not require board approval, it is placed on the unit spend plan for submission to your Resource Management Office for funding approval. (See FIGURE 3 - Example Spend Plan)
- e. All unit spend plans are due to the MNC-I C8 on the 21<sup>st</sup> of each month.
- f. The MNC-I C8 compiles a comprehensive spend plan and presents it to the MNC-I Chief of Staff (COS) for approval.
- g. After approval from the MNC-I COS, the spend plans and Resource Distribution Documents (RDD) are returned to the requesting units between the 5<sup>th</sup> and 10<sup>th</sup> of the following month for their submission of funding documents (i.e. DA Form 3953 - Purchase Request & Commitment; or DD 448 – Military Interdepartmental Purchase Request.)

3. SPEND PLAN CHECKLIST:

- a. Spend Plan
  - 1. Check the format, no added columns except to the far right
  - 2. Review appropriate FRAGOs and/or SOPs to determine if requirement must be board validated
  - 3. Ensure requirements goes through the JARB, JFUB or C6VB approval process as necessary
  - 4. Provide JARB/C6VB/JFUB number in the correct column after validation
  - 5. Must have a POC listed

6. Needs to be the correct month (Request is for funding in following month)
7. Prioritize your requirements (Number your items 1, 2, 3 ... - do not duplicate your priority numbering)
8. Ensure items were not previously funded in prior months or by other organizations.

b. Additional Spend Plan TTPs:

1. Remember to allow sufficient time for a requirement to be validated. Add an additional 2-3 weeks for a requirement needing Super CARB approval.

2. Validation does not equal funding. Validated items must be submitted on a spend in order to be funded. Conversely non-validated items submitted on a spend plan are automatically removed from consideration for funding. Requirements will not be funded in anticipation of validation.

3. For Service Contracts that require validation ensure that the following information is included in the Justification block on the spend plan:

- (a) Period of performance that is being requested
- (b) Date funding is required.
- (c) Can the contract be incrementally funded? If so, what are the requirement increments (monthly, quarterly, semiannual) and how much is needed when?

4. Special Initiatives—ensure any requirements involving either of the following are clearly identified in the first sentence of the justification block:

- (a) Base closure costs (Begin justification block with “BASE CLOSURE”)
- (b) Top 14 FOB High Occupancy Facilities (HOF) Force Protection Initiatives (Begin justification block with “TOP 14 FOB HOF FORCE PROTECTION”)

c. Out of Cycle Requests:

1. Out of Cycle requests occur when a unit has an emergency requirement that was not submitted on the current month’s spend plan and it cannot wait until the next spend plan cycle.

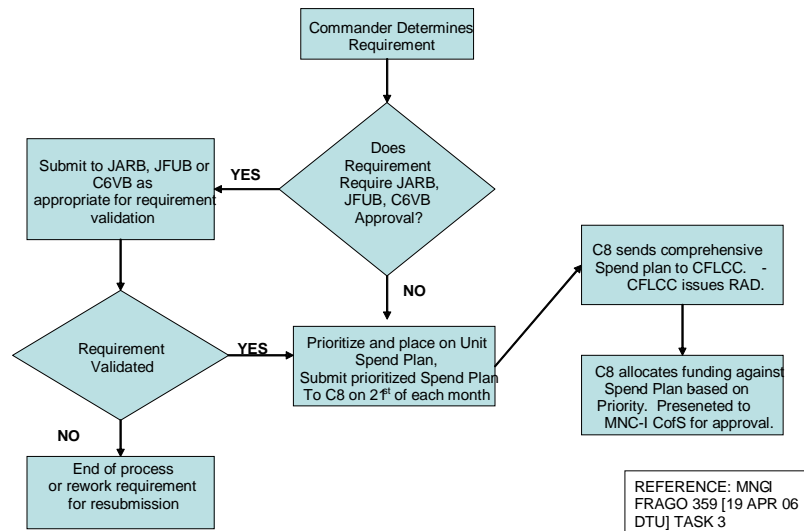
2. This normally happens when a requirement is awaiting validation when the spend plan is submitted and subsequently is validated prior to the next month’s submission.

3. Because the request was not on the spend plan, funding must be found by CJ8 to resource the requirement. Therefore an out-of-cycle request must actually be a time sensitive, emergency requirement. Do not submit routine items that can wait until the next spend plan for out of cycle funding.

4. Out of cycle requests should be submitted to the MNC-I Chief of Staff in Memorandum Format signed by the first O6 in the chain-of-command. See Figure 2 for an example. Out of Cycle requests will be turned-in to the CJ8 Budget Execution Officer for review before going to the CofS. Units should include all pertinent documentation with the request—validation paperwork, legal review, obligating document, etc. The Memorandum should include a no later than date for funding if applicable.

FIGURE 1

## Spend Plan Process Flow



## FIGURE 2



REPLY TO  
ATTENTION OF

HEADQUARTERS  
MULTI-NATIONAL CORPS - IRAQ  
BAGHDAD, IRAQ  
APO AE 09342

Unit office symbol

8 January 2006

MEMORANDUM FOR Multinational Corps – Iraq, ATTN: MNC-I Chief of Staff (BG Campbell)

SUBJECT: Request for Out of Cycle Funding CJ071234 [OR C6VB# OR JFUB 310, C-06-240-03]

1. This is a request for \$500,000 to accomplish (what). Explain requirement so the MNC-I CoS can understand what the requirement is.
2. This requirement is important (why) (who it benefits, the importance or criticality). Impact if not funded at this time.
3. This requirement was not on the spend plan because. (JARB was approved after the spend plan submitted to CFLCC)
4. The funding for this requirement is needed by (when). It can / cannot wait until the next spend plan because (why)
5. There is (how much) / is not any fund available within [your unit/staff section] to offset this requirement until the January 2006 funding is distributed.
6. The point of contact for this memorandum is MAJ Dee at DSN: 318-822-XXXX.

JOHN A. DOE  
COL, SF  
Commanding or Staff Position

EXAMPLE ONLY									
Priority	EOR Category	Staff Section	NON-STOCK Spend Plan	Month/Year	Justification	Validation Board Number	Validation Approved Date	POC and Number	
1	32**	HHC 99th SIG BDE	Commercialization for LSA Anaconda	\$6,278,768.52	This equipment is required to continue and complete the communications commercialization in LSA Anaconda (Balad). With this equipment, a tactical signal battalion will no longer be necessary there. This equipment package will result in quality architecture capable of supporting data and voice services as permanent COB infrastructure.	C-07-001-15	20 Mar 06	LT Blank 822-1234	
2	26**	HHC 99th SIG BDE	Communications parts and supplies	\$125,000.00	These parts are critical to the upkeep and maintenance of the data being produced by the brigade. These items are adapters, media converters, cable converters, etc.	C-07-002-12	20 Mar 06	LT Blank 822-1234	
3	26**	HHC 99th SIG BDE	Scanners (3)	\$2,500.00	The scanner will be used for the CNOSC to use for scanning packets for the JARB, C-6 VB, and other critical mission-related items to MNC-I staff sections.			LT Blank 822-1234	
4	26**	552D SIG BN	Dell Computer Purchase	\$59,740.47	27 Dell Laptops for administrative duty, JARB and PR&C are complete	C-07-003-03	15 Mar 06	LT Blank 822-1234	
5	26**	HHC 99th SIG BDE	Trailers (2)	\$32,000.00	The trailers will be used to hold classes for personnel receiving signal related classes.	CJ070044	19 Mar 06	LT Blank 822-3456	
6	32**	HHC 99th SIG BDE	Force Protection (Jersey Barriers and SCUD bunkers)	\$5,000.00	These barriers and bunkers are required to provide an alternative location for Soldiers and civilians to use in the event of a mortar attack on building 43.	CJ070005	19 Mar 06	LT Blank 822-2345	
7	26**	HHC 99th SIG BDE	Software (Adobe and Ghost Solution)	\$5,000.00	This software will allow us to provide continued service and reliable training throughout our AOR. It will provide better images in base lining computers and reduce the amount of time it takes to bring the system back up.	C-07-006-05	19 Apr 06	LT Blank 822-9876	
8	26**	552D SIG BN	R and U Construction materials and tools	\$5,000.00	Minor project around the battalion area - repair of buildings and adapting existing structures to meet Army security and safety requirements.			LT Blank 822-1234	
9	26**	552D SIG BN	Office supplies	\$8,000.00	For replacement of routine expendable supplies used in daily business such as paper, pens, toner, tape, and cleaning supplies.			LT Blank 822-1234	
10	26**	552D SIG BN	Paying Agent funds	\$30,000.00	Incidental emergency expenses for six companies			LT Blank 822-4567	
			Non-Stock fund Subtotal	\$6,551,008.99					
			Stock fund Projection Subtotal (CL II - IX)						
			TOTAL	\$6,551,008.99					

FIGURE 3

## *TEMPORARY DUTY (TDY) TRAVEL*

1. PURPOSE. To outline Multi-National Corps – Iraq (MNC-I) Temporary Duty guidelines for MNC-I and all Direct Reporting Units (DRU).
2. REFERENCES.
  - a. MNF-I FRAGO 292 [CG MNF-I FISCAL POLICY] ANNEX D: Temporary Duty (TDY) Policy and Procedures.
  - b. MNC-I FRAGO 359 [19 APR 06 DTU] to MNC-I OPORD 05-03, Task 3.
  - c. MNC-I FRAGO 179 (27 JUNE 06 DTU) to MNC-I OPORD 06-01.
3. GENERAL.
  - a. Reimbursable travel will be held to a minimum for the deployed force; however there may be occasional requirements for TDY to and from the AOR.
  - b. Individuals that need temporary duty orders for official travel outside the USCENTCOM Area of Responsibility will require approval by the first General Officer in the chain of command. Temporary duty orders will not be required for travel within the USCENTCOM AOR if the TDY is a no cost TDY. The individual will use their Temporary Change of Station (TCS) or Permanent Change of Station (PCS) orders for official travel within the USCENTCOM AOR. TDY orders can be approved by a Colonel (O-6) or higher for “in Theater” travel if the traveler will incur out of pocket expenses such as meals, lodging, rental car, etc. MNC-I Staff and Separate Brigades will submit all TDYs to the MNC-I Chief of Staff for approval.
  - c. Travel entitlements will be computed based on the orders directing travel and provisions of the Joint Federal Travel Regulations (JFTR). Volume 9, DODFMR, Travel Policy and Procedures (DOD 7000.14-R) will also be used for additional details on travel support.
  - d. Travel will be by military conveyance when possible, government meals and lodging will be utilized to the maximum extent.
  - e. Estimated TDY costs will be as close as possible to the actual costs. Over-estimating the cost of TDY expenses ties up available funds while under-estimating costs may cause an over-obligation of TDY funds.
  - f. This paragraph pertains only to MNC-I Corps Staff and Separate Brigades (not to MSCs, MNF-I, MNSTC-I, JASG). Estimated TDY cost must be completed prior to submitting the TDY request to the MNC-I CoS for signature/approval. Organizations requesting TDY approval from the MNC-I CoS must first bring the TDY request with MNC-I Form 1222 to the CJ8 Budget Division to compute the estimated travel costs (blocks 14a thru 14d). After computation of the estimated travel costs, the CJ8 Budget Division will inform the requesting organization the travel request is ready to be picked up and delivered to the MNC-I CoS for approval consideration. After the MNC-I CoS /signs/approves the travel request, the requesting organization will deliver the TDY request to CJ8 Budget Division for fund certification. After CJ8 Budget Division fund certifies the TDY request, CJ8 will notify the requesting organization the TDY request is ready for pick-up.

#### 4. OVERVIEW.

a. All requests for TDY approval will be submitted on a DD Form 1610 (Request and Authorization for TDY Travel of DOD Personnel). (SEE FIGURE 5)

b. At a minimum, block #16 of the DD Form 1610 should include statements about the following:

- (1) The availability of government meals. Are they provided at no cost to the service member?
- (2) The availability of government billeting.
- (3) Does use of available government billeting adversely affect the mission?
- (4) If government billeting is not available, a statement of non-availability is required for reimbursement.
- (5) Is excess baggage authorized?
- (6) The statement: "Service member will scan and e-mail travel approved settlement voucher to the Arifjan, Kuwait FINTRAVEL Office within five days of completion of travel".  
[fintravel@arifjan.arcent.army.mil](mailto:fintravel@arifjan.arcent.army.mil).
- (7) Other statements regarding phone calls, laundry service, excess baggage, etc. can be added as needed.
- (8) Be very specific about what requirements are / are not reimbursable for this travel. For example, Incidentals will be paid at the end of a soldier's tour (settlement voucher) – therefore incidentals should not be paid on interim travel vouchers.

c. Invitational Travel Orders (ITO) are used by Non-DOD personnel (Host Nation Civilians, Foreign personnel, subject matter experts/consultants). The cost of travel must provide some benefit to the U.S. Government. ITO is prepared in memorandum format and is approved by the first General Officer in the chain of command. ITO must contain the following as a minimum:

- (1) Country Clearance
- (2) Traveler's full name, SSN (if applicable)
- (3) Address
- (4) Nationality (if non-US)
- (5) Reason for travel
- (6) Mode of travel
- (7) Total period of request (both travel and TDY)
- (8) Estimated travel costs (expenses that are reimbursable)
- (9) The following statement, "Traveler will file settlement voucher within 5 days after completion of TDY."

d. Group Travel Orders are authorized for three or more individuals traveling in a group for which transportation will be furnished by government conveyance or Transportation Request (TR). All individuals will travel from same point of origin and return to the same destination under one order.

e. Blanket Travel Orders (BTO) are issued to those who regularly make trips away from their duty station to perform regular assigned duties that are mission essential to the operation of their command or agency. Blanket TDY is limited to the command group (including aides, drivers, security, etc.) and those designated by the MNC-I COS. All BTO's are approved by the MNC-I COS.

#### 5. GUIDELINES.

a. Sections will verify the need for travel based on purpose of travel being mission essential.

- b. Use of commercial travel must be approved by the first General Officer in the chain of command and is only authorized when government conveyance is unavailable.
- c. DD Form 1610 will be submitted to the Resource Management Office at least 5 days prior to travel for funds certification.
- d. Approving officials will ensure trip cannot be accomplished by other means (for example, correspondence, telephone, VTC).
- e. Sections will send minimum number of travelers required.
- f. Exact TDY location and interim stops must be shown.
- g. Use of government transportation, quarters and mess required when available.
- h. Rotator flights will be used for flights out of AOR to the fullest extent.
- i. Minimize use of rental cars (3 per car).
- j. Combine visits within same geographical area.
- k. Ensure travel is performed economically.
- l. Ensure amendments and revocations are processed quickly.
- m. Entitlements must be stated and justified.
- n. Travelers will file settlement voucher within 5 days after completion of TDY.

#### 6. RESPONSIBILITY.

- a. The traveler's supervisor is responsible for maintaining TDY accountability and minimizing instances of fraud, waste and mismanagement.
- b. The requesting official will be a supervisor or someone familiar with the reason and necessity for the traveler (not the traveler) and will sign block 17 of DD form 1610.
- c. The approving official will be the first General Officer in the chain of command and will sign block 18 of DD form 1610.
- d. The Resource Management Office for your organization will review the travel orders for completeness and accuracy and will complete blocks 19 thru 22.

#### 10. SUBMITTING A TRAVEL SETTLEMENT VOUCHER

- a. All travelers are responsible for completing a DD Form 1351-2 Travel Settlement Voucher (Jul 2004 Version) within 5 days of completion of travel. A DD Form 1351-2C can be used for continuation.
- b. Travelers must complete blocks 1, 2, 3, 4, 5, 6, 7, 8, 9, 11, 15, 16, 17, 18, 19, and 20.a. Travelers must also ensure all stops are listed in the itinerary portion of the travel voucher. The commander/supervisor will review, sign and date block 20.c prior to submitting the

travel voucher. The traveler's supervisor will review the voucher for accuracy, completeness, and to ensure all claims are proper.

- c. In order to receive reimbursement for any expenses incurred during travel they must be claimed on the travel settlement voucher.
- d. The following documents are required and must accompany the travel voucher for payment.
  - (1). Travel orders, including amendments.
  - (2). Leave form (DA Form 31), if applicable.
  - (3). Lodging receipts, regardless of the amount (receipt must show payment and a zero balance).
  - (4). Receipts for miscellaneous expenses (rental car, gas, taxi, parking, registration fee, etc.) costing \$75 or more.
  - (5). Non-availability statement or control number for when meals and/or lodging are not available."
- e. For travelers who used the Government Travel Card, use of split disbursement payment is mandatory.

Supervisors should carefully review travel receipts and ensure sufficient funds are split disbursed in order to prevent Travel Card delinquencies.

f. Once the travel voucher has been completed and has the required signatures with supporting documents, it must then be submitted to the Financial Travel (FINTRAVEL) Office in Arifjan, Kuwait for processing.

g. Travelers may scan their documents and email them to:  
fintravel@arifjan.arcent.army.mil.

Specific POCs are:

FINTRAVEL NCOIC  
DSN (318) 430-1340

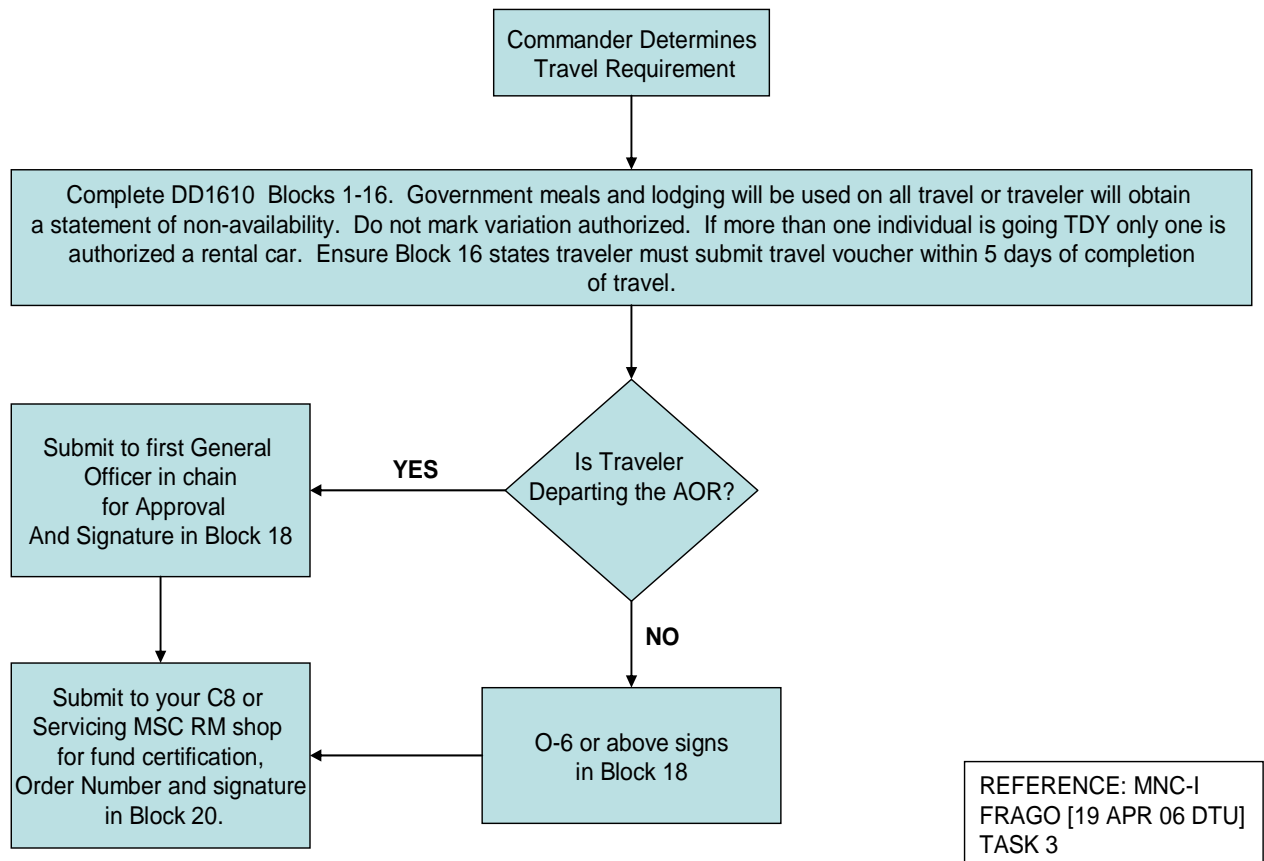
TRAVEL TECHNICIAN  
DSN (318) 430-3625

g. Travelers with questions on their settlement claims for non receipt of payment or improper payment should contact the above POCs to resolve discrepancies.

h. Travelers that cannot resolve their settlement questions through FINTRAVEL in Arifjan, Kuwait should contact their local Finance office for assistance or contact Finance Liaison Officer at DSN (318) 822-2610.

FIGURE 4

# DD FORM 1610 Process Flow



<b>REQUEST AND AUTHORIZATION FOR TDY TRAVEL OF DOD PERSONNEL</b> <i>(Reference: Joint Travel Regulations (JTR), Chapter 3)</i> <i>(Read Privacy Act Statement on back before completing form.)</i>						<b>1. DATE OF REQUEST</b> (YYYYMMDD) 20060430	
<b>REQUEST FOR OFFICIAL TRAVEL</b>							
<b>2. NAME</b> <i>(Last, First, Middle Initial)</i> DOE, JOHN A.			<b>3. SOCIAL SECURITY NUMBER</b> 123-45-6789		<b>4. POSITION TITLE AND GRADE/RATING</b> OIC, CPT/O-3		
<b>5. LOCATION OF PERMANENT DUTY STATION (PDS)</b> CAMP VICTORY, IRAQ APO AE 09342				<b>6. ORGANIZATIONAL ELEMENT</b> B CO. 99TH SIGNAL BN		<b>7. DUTY PHONE NUMBER</b> <i>(Include Area Code)</i> 318-333-8521	
<b>8. TYPE OF AUTHORIZATION</b> TDY		<b>9. TDY PURPOSE</b> <i>(See JTR, Appendix H)</i> TO ATTEND SAFETY CONFERENCE		<b>10a. APPROX. NO. OF TDY DAYS</b> <i>(Including travel time)</i> 10		<b>b. PROCEED DATE</b> (YYYYMMDD) 20060430	
<b>11. ITINERARY</b> EXAMPLE ITINERARIES: <input type="checkbox"/> VARIATION AUTHORIZED  1. BIAP TO QATAR TO MANAMA, BAHRAIN AND RETURN 2. BALAD TO RAMSTEIN, GERMANY TO WASHINGTON, DC. AND RETURN 3. BIAP TO FRANKFURT, GERMANY TO ATLANTA, GA TO R&R LEAVE AND RETURN							
<b>12. TRANSPORTATION MODE</b>							
<b>a. COMMERCIAL</b> RAIL <input type="checkbox"/> AIR <input checked="" type="checkbox"/> BUS <input type="checkbox"/> SHIP <input type="checkbox"/>				<b>b. GOVERNMENT</b> AIR <input checked="" type="checkbox"/> VEHICLE <input type="checkbox"/> SHIP <input type="checkbox"/>		<b>c. LOCAL TRANSPORTATION</b> CAR RENTAL <input checked="" type="checkbox"/> TAXI <input type="checkbox"/> OTHER <input type="checkbox"/>	
<input type="checkbox"/> PRIVATELY OWNED CONVEYANCE <i>(Check one)</i> RATE PER MILE: _____  <input type="checkbox"/> AS DETERMINED BY APPROPRIATE TRANSPORTATION OFFICER <i>(Overseas Travel only)</i>						<input type="checkbox"/> ADVANTAGEOUS TO THE GOVERNMENT MILEAGE REIMBURSEMENT AND PER DIEM IS LIMITED TO CONSTRUCTED COST OF COMMON CARRIER TRANSPORTATION AND PER DIEM AS DETERMINED AND TRAVEL TIME AS LIMITED PER JTR	
<b>**NOTE - ESTIMATED COSTS BELOW IS COMPLETED BY YOUR SERVICING RM OFFICE**</b>							
<b>13.</b> <input checked="" type="checkbox"/> a. PER DIEM AUTHORIZED IN ACCORDANCE WITH JTR.				<b>b. OTHER RATE OF PER DIEM</b> <i>(Specify)</i>			
<b>14. ESTIMATED COST</b>						<b>15. ADVANCE AUTHORIZED</b>	
<b>a. PER DIEM</b> \$		<b>b. TRAVEL</b> \$		<b>c. OTHER</b> \$		<b>d. TOTAL</b> \$	
<b>16. REMARKS</b> <i>(Use this space for special requirements, leave, excess baggage, accommodations, registration fees, etc.)</i> SERVICE MEMBER WILL COMPLETE A TRAVEL SETTLEMENT VOUCHER (DD 1351-2) WITHIN FIVE DAYS OF COMPLETION OF TRAVEL. AN APPROVED TRAVEL VOUCHER CAN BE SENT VIA EMAIL TO THE ARIFJAN KUWAIT FINANCE OFFICE AT <a href="mailto:fintravel@arifjan.arcent.army.mil">fintravel@arifjan.arcent.army.mil</a> .  EXAMPLE STATEMENTS INCLUDED IN ORDERS (DEPENDENT UPON MEALS AND LODGING AVAILABILITY): 1. GOVERNMENT MEALS AND LODGING ARE AVAILABLE AND DIRECTED 2. GOVERNMENT MEALS AND LODGING ARE AVAILABLE. IF NOT AVAILABLE, A STATEMENT OF NONAVAILABILITY IS REQUIRED FOR REIMBURSEMENT. 3. GOVERNMENT MEALS AND LODGING ARE NOT AVAILABLE. COMMERCIAL MEALS AND LODGING ARE AUTHORIZED. 4. USE OF GOVERNMENT MEALS AND LODGING WOULD ADVERSELY AFFECT THE MISSION. COMMERCIAL MEALS AND LODGING ARE AUTHORIZED.  OPTIONAL STATEMENTS (BASED UPON AUTHORIZATION FROM THE COMMAND): 5. OFFICIAL PHONE CALLS AND INTERNET USE IS AUTHORIZED. 6. EXCESS BAGGAGE IS AUTHORIZED. 7. RENTAL CAR IS AUTHORIZED. 8. LEAVE AUTHORIZED FROM 25 MAY 06 TO 10 JUNE 06.							
<b>17. TRAVEL-REQUESTING OFFICIAL</b> <i>(Title and signature)</i> JANE M. DOE, LTC, 99TH SIG BN CDR				<b>18. TRAVEL-APPROVING/DIRECTING OFFICIAL</b> <i>(Title and signature)</i> JOHN E. SNUFFY, BG, CHIEF OF STAFF			
<b>AUTHORIZATION</b>							
<b>19. ACCOUNTING CITATION</b> COMPLETED BY YOUR SERVICING RESOURCE MANAGEMENT (RM) OFFICE							
<b>20. AUTHORIZING/ORDER-ISSUING OFFICIAL</b> <i>(Title and signature)</i> COMPLETED BY YOUR SERVICING RESOURCE MANAGEMENT OFFICE						<b>21. DATE ISSUED</b> (YYYYMMDD) COMPLETED BY RM OFFICE	
						<b>22. TRAVEL AUTHORIZATION NUMBER</b> COMPLETED BY RM OFFICE	

DD FORM 1610. MAY 2003

PREVIOUS EDITION IS OBSOLETE.

FIGURE 5

UNCLASSIFIED/FOUO

J - 12

## *PURCHASE REQUEST & COMMITMENT (PR&C)*

1. **PURPOSE:** This section provides MNC-I Units detailed guidance on Purchase Request and Commitment (PR&C) procedures to follow in order to process local purchase requests for contract services and supplies of items over \$2,500. Requirements that are \$2,500 or below will use other micro purchase instruments to satisfy unit requirements, such as unit Field Ordering Officers or unit Government-Wide Purchase Cards. Provided is a step-by-step guideline of the PR&C procedures. Samples of the supporting documentation required for processing a unit's PR&C request are provided.

### 2. REFERENCES:

- a. MNC-I FRAGO 359 [19 APR 06 DTU] to MNC-I OPORD 05-03, Task 3.

### 3. PROCEDURES TO PROCESS PR&Cs.

a. All requirements processed on a DA Form 3953 must have the following supporting documentation:

(1) A justification letter, signed by the Battalion Commander or O-5 designate, that provides adequate detail to explain why the purchase is necessary, how this purchase meets mission requirements, why the items can't be procured through the normal supply system, and the impact if not funded.

(2) A Statement of Work (SOW) (for requirements that require contracting support) with costs estimates and detailed descriptions of work required. This is to ensure that the requirement is detailed enough so that a contract can be secured resulting in providing the requestor with the precise product/service desired.

(3) Three estimates from different sources or a memorandum explaining why the item must go to a sole source provider. By providing sources, the time required to contract is reduced; otherwise, the Contracting Office will seek sources via the normal solicitation/bidding process or through current source providers. Sole source provider can only be obtained if fully justified. The local contracting office is the subject matter expert in this area.

**STEP 1: Unit Determines Requirement:** See Requirements Flowchart (FIGURE 6). IAW the Requirements Flowchart, if a PR&C (DD Form 3953) is necessary the unit will follow below procedures to correctly complete a PR&C.

**STEP 2: Initiator completes the following DA Form 3953 blocks (sample provided in Figure 4):** Block 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 18b, 25, 27-30.

**STEP 3: The initiator obtains approval from their chain-of-command (blocks 34 and 35):**

(1) \$1 to \$2,500 requires approval authority from an O-4 or above. For Staff Section PR&Cs, the approving officer must be the staff principal.

(2) \$2,501 to \$200,000 requires approval authority from an O-6. For Staff Section PR&Cs, the approving officer must be the Staff Principal. Should an O-5 assume temporary command of a brigade sized element he/she is also authorized to approve PR&C's up to \$200,000, based on commensurate authority of the position.

(3) Over \$200,000 requires approval authority from a General Officer (O-7 and above).

(4) Over \$10 million requires CFLCC approval. (SUPERCARB Process)

(5) Battalion Separates (Any Battalion sized element that reports directly to MNC-I), will seek approval authority from the first O-6 in their chain of command or the MNC-I Deputy Chief of Staff, for PR&Cs between \$2,501 and \$200,000.

b. To aid in the identification of requirements, functional staff expertise exists in the following areas:

(1) C-1/G-1 assists in developing MWR program requirements.

(2) C-2/G-2 assists in developing COMSEC and OPSEC requirements.

(3) C-3/G-3 along with the Provost Marshall Office and Base Camp Mayors assists in developing force protections requirements.

(4) C-4/G-4 assists with the development of logistics, services and base operations support requirements.

(5) C-6/G-6 will review all information management and automation, communication equipment, and communication lease and service requirements.

(6) C-7/G-7 will review facilities, utilities, roadways and real property requirements.

c. Requirements Validation Process. Requirements over \$200,000 or special command interest items must be validated in accordance with the command's requirements validation process. Items that meet the screening criteria to require validation will not be funded without the appropriate JARB, JFUB, or C6VB validation. For detailed instructions on this process, see the Requirements Validation SOP.

STEP 4: The initiator forwards the PR&C to the Installation Property Book Officer (IPBO) who will assign a requisition number in block 2 and complete blocks 31 through 33. The IPBO will review all requests to determine if the requirement may be filled with on hand items. All items purchased in theater with OIF funds must remain in theater. Units are not authorized to take any property purchased with theater funding back to home station.

STEP 5: Once approved for funding on the spend plan, the initiator or unit resource manager forwards the PR&C to their supporting Resource Management office along with the justification letter, Statement of Work, and three estimates or memorandum explaining a sole source provider. Note: Initiator will submit the PR&C packet through the following elements as applicable:

STEP 6: The RM will provide the fund cite and forward the PR&C to the Contracting office. The Contracting Officer will:

(1) Contact Initiating Officer

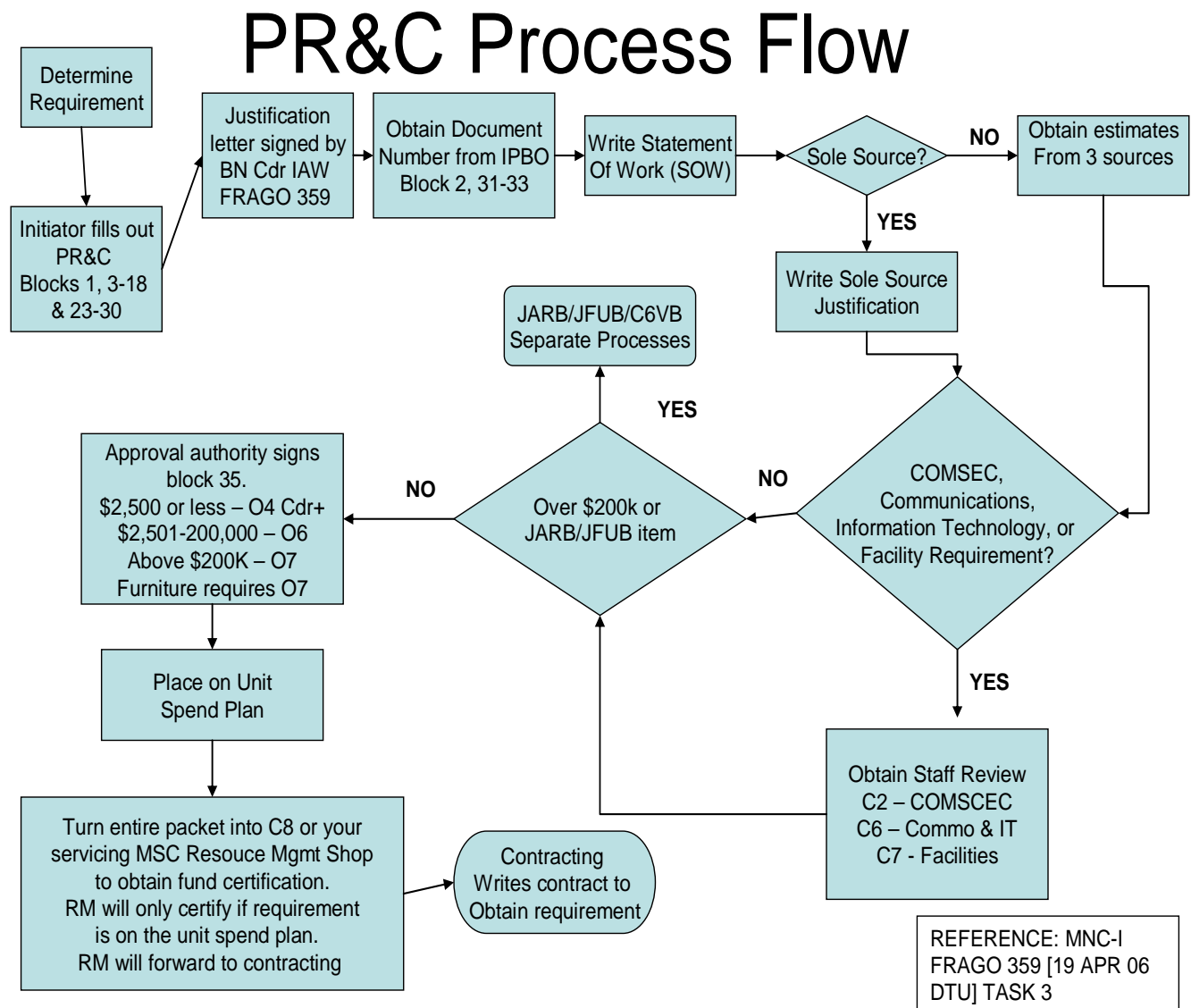
(2) Contract for supply or service item

(3) Provide a copy of the contract

STEP 7: Upon receipt of the goods and/or service, the requesting unit will prepare and submit a DD 250, Material Inspection and Receiving Report, and submit to the Contracting office.

STEP 8: Bulk Fund PR&Cs must be cleared by contracting, the PBO, finance and the Resource Management office (note: see Field Ordering Officer (FOO) / Paying Agent (PA) - Bulk Fund Procedures.).

FIGURE 6



## Completing a DA Form 3953 Purchase Request and Commitment (PR&C)

1. General. Completion of DA Form 3953, Purchase Request and Commitment (PR&C) (See FIGURE 7), is the customer's (requiring element's) responsibility. The form must be filled out in sufficient detail. It is critical that the customer identify and describe the item of support needed in detail (identify the specific requirement). The requiring element will attach an Independent Government Estimate (IGE) to the PR&C when required.
2. Preparation. The following will provide block by block instruction on preparing DA Form 3953.
  - a. Block 1 - PURCHASE INSTRUMENT NO. Leave blank or may be used as needed by requiring element or comptroller.
  - b. Block 2 - REQUISITION NO. Document number from requiring element which includes e.g., DODAAC, Julian date, serial number or comptroller.
  - c. Block 3 - DATE. Date of requisition.
  - d. PAGE \_\_\_\_ OF \_\_\_\_ PAGES. Fill in the blanks.
  - e. Block 4 - TO. Name of the Contracting Office making the purchase.
  - f. Block 5 - THRU. Name/address of requiring element commander in the grade of O5 or higher.
  - g. Block 6 - FROM. Name/address of ordering organization.
  - h. Block 7 - PURCHASED FOR. Name of organization for which supplies/services are being purchased.
  - i. Block 8 - DELIVERED TO. Complete Organization/address of the Central Receiving Point. Should include building number, pad number, etc. of actual location.
  - j. Block 9 - NOT LATER THAN (Date). Latest date when delivery/ performance is required. The date must be realistic and based on the Standard Delivery Dates (SDD) for each Priority Designator(PD) as outlined in Chapter 2, AR 725-50.
  - k. Block 10 and 11 – NAME, EMAIL ADDRESS AND TELEPHONE NO. OF PERSON TO CALL FOR ADDITIONAL INFORMATION. Point of contact concerning the requirements. This person must be knowledgeable and have the authority to provide clarification on the PR&C.
  - l. Blocks 12 and 23 - LOCAL PURCHASE AUTHORIZED... OR REQUISITIONING DISCLOSES NONAVAILABILITY... OR EMERGENCY SITUATION PRECLUDES... Authority (governing regulation) for local purchase. The SSA must check and complete the appropriate block.
  - m. Blocks 14 thru 18 - ITEM-DESCRIPTION OF SUPPLY OR SERVICES/SUGGESTED SOURCE OF SUPPLY-QUANTITY-UNIT-ESTIMATED Unit Price & Total Cost-DISCOUNT TERMS-PURCHASE ORDER NO. Ordering information: by item number, describe the item/service requested including quantity, number of units, unit price, and total cost. Includes data needed for preparation of procurement document, discount terms, purchase order (if contract modification), and delivery schedule.
  - n. Blocks 19 thru 22 - ACCOUNTING CLASSIFICATION-AMOUNT-TYPED NAME & TITLE OF CERTIFYING OFFICER-SIGNATURE. Fund certification: In the appropriate block, the Resource Management will enter the accounting classification to be charged, the dollar amount, the name

and title of officer approving use of funds, date of signature, and signature of fund approving officer. If applicable, indicate the foreign currency conversion rate and amount as converted into US Dollars.

o. Block 25 - THE FOLLOWING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE. Purpose and use of purchase.

p. Block 26 - DELIVERY REQUIREMENTS. Check or fill-in appropriate blank

q. Blocks 27 thru 30 - DATE-TYPED NAME AND GRADE OF INITIATING OFFICER-SIGNATURE-DATE. In appropriate block, date, name, title and grade of requesting officer, and signature.

r. Blocks 31 thru 33 - DATE-TYPED NAME AND GRADE OF SUPPLY OFFICER-SIGNATURE. In appropriate block, date, name, title and grade, and signature of responsible supply officer.

s. Blocks 34 thru 36 - DATE-TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE-SIGNATURE. Name, grade, and signature of the requiring element commander in the grade of O-4 or higher and date signed.

NOTE. The use and completion of this form is governed by Chapter 8, AR 37-1.

FIGURE 7

## PR&C Instructions

<p>Block 8: Specific delivery location (grid coordinate; Camp, Bldg #) instructions for supply or service</p>		<p>PBO assigns document number.</p>		<p>Required Delivery Date (Not ASAP)</p>	
<p><b>PURCHASE REQUEST AND COMMITMENT</b> <small>For use of the form see AFSP-1 (Department Agency's O&amp;A/RM)</small></p>		1. PURCHASE INSTRUMENT NO.	2. REQUEST NO.	3. DATE	<p>PAGE 1 OF 1 PAGES</p> <p>Total # Pages</p>
<p>4. TO: <b>Supporting Contracting Office</b></p>		<p>5. THRU: <b>Supporting Resource Management Office</b></p>		<p>6. FROM: <b>Specific and complete address of unit requesting supplies or service</b></p>	
<p>It is requested that the supplies and services enumerated below or on attached list be:</p>					
<p>7. PURCHASED FOR: <b>Specific and complete address of unit requiring supplies or service</b></p>		8. DELIVERED TO:		9. NOT LATER THAN (Date)	
<p>The supplies and services listed below cannot be secured through normal supply channels or other Army supply sources in the immediate vicinity, and their procurement will not violate existing regulations pertaining to local purchases for stock, therefore, local procurement is necessary for the following reasons: (Check appropriate box and complete here)</p>			<p>10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION: <b>Name of POC and alternate</b></p>		<p>11. TELEPHONE NUMBER: <b>Phone #</b></p>
<p>12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY: <b>Check 12 if request is not ordinarily available from a military source</b></p>		<p>13. REQUESTING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY: <b>Check 12 if request is not available from a regular military source</b></p>		<p><b>FUND CERTIFICATION</b> The supplies and services listed on this request are properly chargeable to the following account(s), the available balances of which are sufficient to cover the cost of the order, and funds have been committed.</p>	
<p><b>EMERGENCY SITUATION (PRIOR LOGS USE OF REQUESTION CHANNELS FOR SECURITY ITEM)</b></p>					
14. ITEM	15. SUPPLY OR SERVICE	16. QUANTITY	17. UNIT	18. ESTIMATED	<p>19. ACCOUNTING CLASSIFICATION AND AMOUNT: <b>Funds Accounting Code Provided by supporting Resource Management Office</b></p>
				<p>UNIT PRICE \$</p> <p>TOTAL COST \$</p>	
	<p>-Provide a complete description, duration, service frequency of the supply or service item required. In short, a statement of work (SOW). -Recommended Source of Supply if known -Other pertinent information -Use continuation as required</p>	# required	Best description of unit of issue	<p>Per unit cost</p> <p>Amount and type of currency needed for total purchase</p>	
<p>25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE: <b>Explain who, what, when, where and why requirement is necessary. Attachment may be used.</b></p>				<p>26. DELIVERY REQUIREMENTS: ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES? YES <input type="checkbox"/> NO <input type="checkbox"/> IF YES, NUMBER OF DAYS REQUIRED:</p>	
<p>27. TYED NAME AND GRADE OF INITIATING OFFICER: <b>Initiating Officer</b></p>		<p>28. SIGNATURE: <b>// S Initiating Officer</b></p>		<p>29. DATE: <b>Date</b></p>	<p>34. TYED NAME AND GRADE OF APPROVING OFFICER OR DISCIPLE: <b>CDR O-4+ Or Staff Principal</b></p>
<p>30. TELEPHONE NUMBER: <b>Contact Information</b></p>					
<p>31. TYED NAME AND GRADE OF SUPPLY OFFICER: <b>PBO</b></p>		<p>32. SIGNATURE: <b>// S PBO</b></p>		<p>33. DATE: <b>Date</b></p>	
				<p>35. SIGNATURE: <b>// S Approving Authority</b></p>	<p>36. DATE: <b>Date</b></p>

DA FORM 3968, MAR 91

EDITION OF AUG 76 IS OBSOLETE

USE APPROV 200

## *FIELD ORDERING OFFICER / PAYING AGENT – BULK FUNDS*

1. PURPOSE: To outline Multi-National Corps-Iraq (MNC-I) Field Ordering Officer (FOO)/Paying Agent (PA) guidelines.

### 2. REFERENCES.

- a. MNF-I FRAGO 292 [CG MNF-I FISCAL POLICY] ANNEX E. MNF-I Field Ordering Officer Policy and Procedures.
- b. MNC-I FRAGO 359 [19 APR 06 DTU] to MNC-I OPORD 05-03, Task 3.
- c. Joint Contracting Command (JCC) Multi-National Forces – Iraq Acquisition Instructions

### 3. GENERAL.

- a. Field Ordering Officers are an extension of the contracting office. A contracting officer delegates the authority to obligate the government to the FOO.
- b. FOOs are logistical assets, able to procure authorized, urgently needed supplies from local sources that are either not available or not capable of being obtained from normal supply sources.
- c. FOOs can quickly and directly make over-the-counter purchases at or under \$2,500 from local vendors and contractors.
- d. A FOO is similar to a Government Purchase Card (GPC) holder; instead of credit-and-carry, the transaction is cash-and-carry.
- a. Only contracting officers and their authorized agents (e.g., FOOs) can obligate the government to pay for an item or service.
- f. FOO is funded with contingency operation funding. Therefore, all items purchased with these funds must remain in theater.

### 4. GUIDELINES.

- a. As MNC-I transitions from a contingency to sustainment phase of operations in Iraq, Field Ordering Officers will continue to play a vital role in providing day-to-day *emergency* contracting support to the Commander. However, we must all examine ways to slow the rate of spending appropriated funds. Commanders and Resource Managers at all levels are encouraged to set budget limits on bulk funding. The maximum authorized advance for a FOO/PA is \$20,000. The monthly funding amount per unit will be determined by the Resource Manager and is dependent on availability of funds. Advances in excess of \$20,000 are at the discretion of the Resource Manager and are dependent on mission requirements or when health and safety issues are paramount.
- b. Establishing Bulk Funds Account: The procedures below apply to MNC-I staff and subordinate commands will establish similar procedures. (See FIGURE 8)
  - (1) FOOs are nominated in writing by the Commanding Officer (O-5 or above) and are appointed in writing by their servicing Contracting Officer.
  - (2) FOOs must attend training provided by the servicing contracting office.

- (3) Paying Agents are appointed in writing by the unit commander and must attend training provided by servicing finance office.
- (4) The FOO and their PA will provide copies of their appointment letters, certification from Contracting and Finance, and DD Form 577 (Signature Card), to their Resource Management office prior to receipt of funding.

c. Preparing a PR&C (DA 3953): (See FIGURE 9)

- (1) PR&C will be fully completed prior to requesting a fund cite from the Resource Management office.
- (2) Blocks 19-22 will be completed by the Resource Management Office.
- (3) Approving officer or designee (block 34) will be signed by the requesting unit's O4 officer or above for amounts less than \$2,500. The unit's O-6 Cdr, appropriate O-6 staff principal or the MNC-I Deputy Chief of Staff for more than \$2,500.
- (4) After receiving funds certifying officer signature (block 21) voucher will be ready to take to servicing finance office for issuing of funds

d. FOO/PA accounts must be reconciled at a minimum every 90 days or prior to the FOO/PA's scheduled departure from theater, whichever is sooner. The PA has to reconcile with the finance office, the FOO has to reconcile with the Regional Contracting office, either the FOO or the PA can reconcile with the Resource Management office. FOO and Paying Agent accounts may be replenished as often as necessary as deemed by the commander and in accordance with unit spend plan.

e. The following documents are required to replenish funds or close out accounts:

- (1) Clearance letter from contracting
- (2) Clearance letter from IPBO
- (3) Copies of SF 44s with required signatures and IPBO stamp.
- (4) Purchase review memorandum signed by Commander.
- (5) DD 1081 clearing Paying Agent (from Finance)
- (6) Submit a copy of all final closing documents to your supporting Resource Management office.

5. PROHIBITED PURCHASES. In general, FOO funds should not be used to pay for equipment or services already provided by another source. Prior to making any purchase, the FOO should check for availability of the requirement from existing sources, such as within the unit, the Installation Property Book Office (IPBO), KBR, Self Service Supply Center (SSSC) and the local contracting office. When in doubt, call contracting. Purchasing any of the below items will result in immediate procurement authority termination unless an exception to policy is granted by the supporting contracting office, as recommended by the resource management office. You are not authorized to obligate government funds for the following:

- a. Purchases greater than \$2,500. Do not split purchases to get around \$2,500 limit. If cost is more than \$2,500, a PR&C must be submitted to C8 for respective purchase.
- b. Purchases requiring more than one delivery or one payment (only over the counter transactions).
- c. Personal Items: Items that do not meet an operational need of the unit should not be purchased with operational funding. FOO funds should not be used to pay for comfort items or items used by individual service member. Personal hygiene items, clothing items, bedding, personal cell phone minutes, and refrigerators for living quarters are examples.

- d. Subsistence – Food & Bottled Water: Do not purchase subsistence items (food or water for consumption) using operational fund citation. You need a separate subsistence (food/water) specific 65 digit fund citation if required to purchase food or water. Further, food and water can only be purchased from U.S. Army Veterinary approved sources.
- e. Ice. Has the same rule as bottled water above, if you are placing the ice in the water and are consuming it along with the water.
- f. Rent or lease of real estate. The Army Corps of Engineers is the only organization permitted to rent for the lease of land/facilities.
- g. Contracted Lodging. If unit has prior knowledge of lodging availability, then lodging should be authorized on the deployment orders. If not, then the unit comptroller must provide a memorandum or a DA 3953 that authorizes the use of operational funds for lodging.
- h. Interpreters. Interpreters should only be funded for a one-day, emergency requirement. The FOO should contact the supporting contracting office prior to soliciting the interpreter's service.
- i. Day Laborers. FOOs are authorized to pay for day labor services that are only required for one day and are not provided on an existing contract. The FOO should contact the supporting office to check for existing contracts.
- j. JARB Items (See Requirements Validation section). Any special interest items that require board validation approval are not authorized to be purchased with FOO funds.
- k. C6VB items such as computer hardware and software (see Requirements Validation section). However, you may purchase blank CDs, memory sticks, printer cartridges, keyboards, mouse and surge protectors.
- l. Cellular Phones, monthly service charges or prepaid phone cards.
- m. MWR equipment, services or tours. Commands will identify agencies responsible for procuring MWR equipment and establishing a common level of support throughout the base camp.
- n. Social Events.
- o. Gifts, Souvenirs and Plaques.
- p. Class VIII (medical supplies).
- q. Items on the unit's Table of Organization and Equipment.
- r. Ammunition or explosives.
- s. Alcohol.
- t. Excess Baggage.
- u. Construction materials used to build a fixed ("permanent") site.
- v. Plane/train/ship/bus tickets.

6. ARMY SUPPLY CHANNELS. You are authorized to procure the following items only after a requisition has been submitted through the normal Army supply channels, which has been annotated as not available, or not available in a timely manner. A copy of the supply requisition document must be attached to the SF44 as proof that the item was first ordered through the supply system.

- a. Class II, General supplies
- b. Class III, Packaged POL
- c. Class IV, Barrier and Construction items (temporary construction only)
- d. Class IX, Repair Parts
- e. Expendable office and cleaning supplies

7. RESPONSIBILITY.

- a. Each Battalion or separate company is authorized two Field Ordering Officers (FOO) and two Paying Agents (PA). Additional FOOs/PAs may be appointed based on the unit's mission and requirements. Units that need additional FOOs/PAs can coordinate with their Resource Management office. The FOO must be nominated, in writing, by Commander in the grade of O-5 or above and appointed, in writing, by their servicing contracting officer.
- b. Paying Agents will be appointed in writing by the unit commander and trained by the local finance office.
- c. Responsibility and accountability for bulk funds must be maintained in order to ensure fraud, waste and abuse are effectively minimized. The Paying Agent is pecuniary liable for all funds entrusted to him/her and must close their accounts when the account is no longer required or prior to departing theater. The bulk fund account must be reconciled at a minimum of every 90 days or prior to the FOO/PA's scheduled departure from theater, whichever is sooner. They must have the following documents to close their accounts with the Resource Management Office:
  - 1). Purchase review memorandum signed by their Commander.
  - 2). Clearance Letter from the Property Book Office.
  - 3). Clearance letter from contracting.
  - 4). Copies of SF Forms 44s and DD 1081 from finance.
- d. All FOO/PA accounts must be closed with Property Book Office, Contracting, Finance and the Resource Management office prior to individual's departure from the AOR.

FIGURE 8

# BULK FUND Process Flow

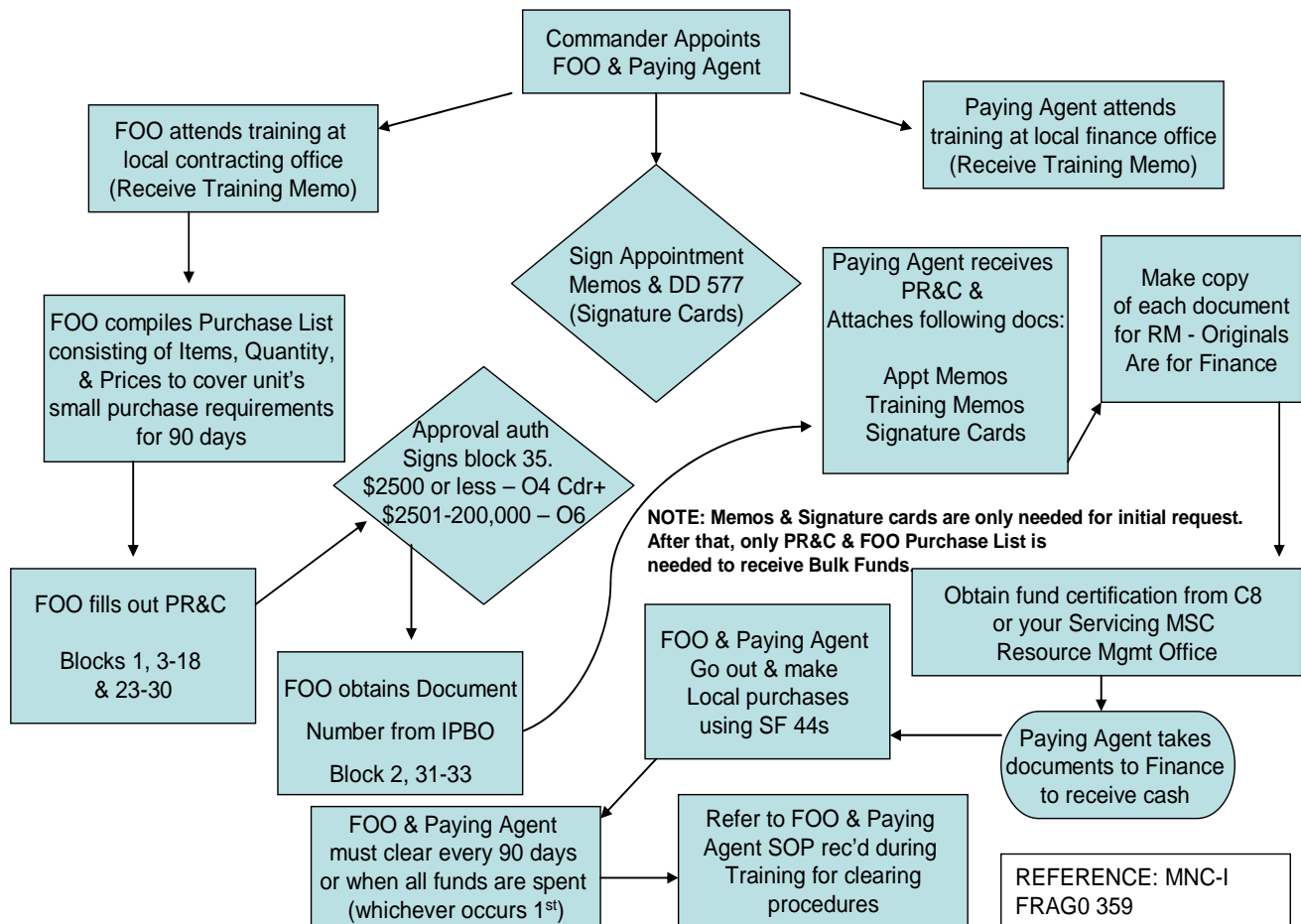


FIGURE 9

# PR&C for Field Ordering Officer - Bulk Fund

PURCHASE REQUEST AND COMMITMENT <small>For use of this form see AF37-1 (Supp. Operating Agency's OES, AFM)</small>		1. PURCHASE INSTRUMENT NO.  RM Assigns	2. REQUESTION NO.  PBO assigns document number	3. DATE  Date of Request	PAGE OF 1 PAGES Total # Pages
4. TO:  Supporting Contracting Office		5. FROM:  Supporting Resource Management Office		6. FROM:  Specific and complete address of unit requesting bulk fund	
It is requested that the supplies and services enumerated below or on attached list be					
7. PURCHASED FOR  Specific and complete address of unit requiring bulk fund			8. DELIVERED TO		9. NOT LATER THAN (Date)
The supplies and services listed below cannot be secured through normal supply channels or other Army supply sources in the immediate vicinity, and their procurement will not violate existing regulations pertaining to local purchases for stock, therefore, local procurement is necessary for the following reasons: (Check appropriate box and complete item)			10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION  Name of POC and alternate		11. TELEPHONE NUMBER  Phone #
12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY			13. REQUESTIONING DISCLOSES UNAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY  X AR 710-2		
EMERGENCY SITUATION PRELUDES USE OF REDUCTION CHANNELS FOR SECUREMENT					
14. ITEM	15. SUPPLY OR SERVICES	16. DESCRIPTION OF	17. QUANTITY	18. UNIT	19. ESTIMATED UNIT PRICE 2 TOTAL COST 5
	-Field Ordering Officer Bulk Fund for purchase of supplies and services in support of V Corps CONOPS.  Name/Rank of Paying Agent: Email Address Name/Rank of FOO: Email Address				Amount needed for bulk fund
20. TYPED NAME AND TITLE OF CERTIFYING OFFICER  Signature Block RM Funds Certifying Officer			21. SIGNATURE  // S RM Funds Cert Officer		22. DATE  Date
23. DISCOUNT TERMS  Leave Blank			24. PURCHASE ORDER NUMBER  Leave Blank		
25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE:  Bulk fund required to support unit CONOPS operations by procuring emergency supplies or services			26. DELIVERY REQUIREMENTS  ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES IF YES, NUMBER OF DAYS REQUIRED: YES <input type="checkbox"/> NO <input type="checkbox"/>		
27. TYPED NAME AND GRADE OF INITIATING OFFICER  Initiating Officer		28. SIGNATURE  // S Initiating Officer		29. DATE  Date	
30. TELEPHONE NUMBER  Contact Information					
31. TYPED NAME AND GRADE OF SUPPLY OFFICER  IPBO Name		32. SIGNATURE  //Signature of PBO//		33. DATE  Leave Blank	
				34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE  CDR O-4+ or Staff Principal	
				35. SIGNATURE  // S Approving Authority	
				36. DATE  Date	

DA FORM 3696, MAR 97

EDITION OF AUG 76 IS OBSOLETE

LEAF 02 OF 02

SAMPLE

### SF 44 EXAMPLE

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## *MILITARY INTERDEPARTMENTAL PURCHASE REQUEST (MIPR)*

1. PURPOSE. To outline guidance on the completion and execution of the Military Interdepartmental Purchase Request (MIPR) and the Acceptance of MIPR.

2. MIPR – The DD 448 - Military Interdepartmental Purchase Request (FIGURE 11) document is used to transfer (or receive) funds to or from other agencies within federal agencies and departments. A MIPR may be received as either a direct fund or reimbursable, or both. If accepting as a DIRECT CITATION, the resource manager will cite the MIPR's fund cite on all obligating documents. Accepting a REIMBURSABLE MIPR requires the resource manager to set up a reimbursable account and customer number and use his own fund cite on all obligating documents. The acceptance of a MIPR is done on a DD 448-2, Acceptance of MIPR (FIGURE 12), and submitted to the Resource Management Office. The Resource Manager will be responsible for identifying the following items on the MIPR request:

- a. Type and amount of funds to include restrictions to the use of the funds.
- b. Addressee – Whom the funds are going to. This is an agency with the name of the POC included.
- c. Address, phone number, fax number and name of the individual receiving the MIPR.
- d. Approval Line with the signature of the staff principal.
- e. Signature by the staff principal executing the MIPR and signature of the funds certifying officer for any MIPR's exceeding the certification authority of the responsible budget analyst.

3. MSC Comptrollers must be vigilant to follow-up on MIPRs sent to ensure Acceptances DD 448-2s are received for reimbursable MIPRs or obligating documents for Direct MIPRs are received. MIPRs should be reconciled at least monthly to avoid End of Year backlogs. Funding should be withdrawn when it becomes apparent that the recipient will not execute the funding in a timely fashion.

MILITARY INTERDEPARTMENTAL PURCHASE REQUEST					1. PAGE <b>1</b> OF PAGES	
2. FSC		3. CONTROL SYMBOL NO.		4. DATE PREPARED		5. MIPR NUMBER ASSIGNED BY RM
7. TO: COMPLETE NAME & ADDRESS OF WHO IS ACCEPTING THIS MIPR. INCLUDE EMAIL ADDRESS AND PHONE NUMBER OF POINT OF CONTACT				8. FROM: (Agency, name, telephone number of originator) COMPLETE NAME AND ADDRESS OF RESOURCE MANAGEMENT OFFICE EXECUTING THIS MIPR. INCLUDE PHONE NUMBER		
9. ITEMS <input type="checkbox"/> ARE <input type="checkbox"/> ARE NOT INCLUDED IN THE INTERSERVICE SUPPLY SUPPORT PROGRAM AND REQUIRED INTERSERVICE SCREENING <input type="checkbox"/> HAS <input type="checkbox"/> HAS NOT BEEN ACCOMPLISHED.						
ITEM NO.	DESCRIPTION (Federal stock number, nomenclature, specification and/or drawing No., etc.)	QTY <i>c</i>	UNIT <i>d</i>	ESTIMATED UNIT PRICE <i>e</i>	ESTIMATED TOTAL PRICE <i>f</i>	
1.	PLACE HERE A BRIEF DESCRIPTION OF WHAT THE FUNDS WILL BE FOR. (I.E. GPC REIMBURSEMENT)				\$1,000.00	
2.	INSERT: FUND INCREASES ARE NOT AUTHORIZED WITHOUT PRIOR APPROVAL FROM G-8/C-8. EXCEEDING FUNDS PROVIDED, WITHOUT APPROVAL, MAY RESULT IN RECEIPT ACCEPTING THE BURDEN FOR THE AMOUNT IN EXCESS OF THIS MIPR.					
3.	INSERT: SUBMIT DD 448-2 WITHIN 10 WORKING DAYS AND PROVIDE ALL COPIES OF ALL BILLING OR OBLIGATING DOCUMENTS TO THE ADDRESS INDICATED IN BLOCK #8. PLEASE ENSURE THE ACCOUNTING CLASSIFICATION, MIPR NUMBER AND APC ARE ANNOTATED ON ALL OBLIGATING DOCUMENTS.					
4.	BUDGET POC AT YOUR RM LOCATION NAME OF BUDGET POC AT RM DSN NUMBER EMAIL ADDRESS					
5.	FUNDS EXPIRE 30 SEPTEMBER 2006					
10. SEE ATTACHED PAGES FOR DELIVERY SCHEDULES, PRESERVATION AND PACKAGING INSTRUCTIONS, SHIPPING INSTRUCTIONS AND INSTRUCTIONS FOR DISTRIBUTION OF CONTRACTS AND RELATED DOCUMENTS.					11. GRAND TOTAL \$1,000.00	
12. TRANSPORTATION ALLOTMENT (Used if FOB Contractor's plant)				13. MAIL INVOICES TO (Payment will be made by) DFAS ROME DFAS RO/FPT 325 BROOK RD, ROME, NY 13442-4527 PAY OFFICE DODAAD		
14. FUNDS FOR PROCUREMENT ARE PROPERLY CHARGEABLE TO THE ALLOTMENTS SET FORTH BELOW. THE AVAILABLE BALANCES OF WHICH ARE SUFFICIENT TO COVER THE ESTIMATED TOTAL PRICE.						
ACRN	APPROPRIATION	LIMIT/ SUBHEAD	SUPPLEMENTAL ACCOUNTING CLASSIFICATION		ACCTG STA DODAAD	AMOUNT
			ACCOUNTING CLASSIFICATION PLACED HERE BY YOUR LOCAL RESOURCE MANAGEMENT (RM) OFFICE			
15. AUTHORIZING OFFICER (Type name and title) RM APPROVAL OFFICIAL			16. SIGNATURE		17. DATE	

DD FORM 448, JUN 72

PREVIOUS EDITION IS OBSOLETE.

USAPPC V3.00

FIGURE 11

UNCLASSIFIED//FOUO

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ACCEPTANCE OF MIPR					
1. TO (Requiring Activity Address) (Include ZIP Code) <b>SUPPORTING RESOURCE MANAGEMENT OFFICE</b> <b>LIST ADDRESS, PHONE NUMBER AND EMAIL</b> <b>ADDRESS</b>			2. MIPR NUMBER <b>MIPR NUMBER FROM DD 448</b>		3. AMENDMENT NO.
			4. DATE (MIPR Signature Date)		5. AMOUNT (As Listed on the MIPR) <b>\$1,000.00</b>
6. The MIPR identified above is accepted and the items requested will be provided as follows: (Check as Applicable)					
a. <input type="checkbox"/> ALL ITEMS WILL BE PROVIDED THROUGH REIMBURSEMENT (Category I) b. <input type="checkbox"/> ALL ITEMS WILL BE PROCURED BY THE DIRECT CITATION OF FUNDS (Category II) c. <input checked="" type="checkbox"/> ITEMS WILL BE PROVIDED BY BOTH CATEGORY I AND CATEGORY II AS INDICATED BELOW d. <input type="checkbox"/> THIS ACCEPTANCE, FOR CATEGORY I ITEMS, IS QUALIFIED BECAUSE OF ANTICIPATED CONTINGENCIES AS TO FINAL PRICE. CHANGES IN THIS ACCEPTANCE FIGURE WILL BE FURNISHED PERIODICALLY UPON DETERMINATION OF DEFINITIZED PRICES, BUT PRIOR TO SUBMISSION OF BILLINGS.					
7. <input type="checkbox"/> MIPR ITEM NUMBER(S) IDENTIFIED IN BLOCK 13, "REMARKS" IS NOT ACCEPTED (IS REJECTED) FOR THE REASONS INDICATED.					
8. TO BE PROVIDED THROUGH REIMBURSEMENT CATEGORY I			9. TO BE PROCURED BY DIRECT CITATION OF FUNDS CATEGORY II		
ITEM NO. <i>a</i>	QUANTITY <i>b</i>	ESTIMATED PRICE <i>c</i>	ITEM NO. <i>a</i>	QUANTITY <i>b</i>	ESTIMATED PRICE <i>c</i>
		\$500.00			\$500.00
d. TOTAL ESTIMATED PRICE		\$500.00	d. TOTAL ESTIMATED PRICE		\$500.00
10. ANTICIPATED DATE OF OBLIGATION FOR CATEGORY II ITEMS			11. GRAND TOTAL ESTIMATED PRICE OF ALL ITEMS <b>\$1,000.00</b>		
12. FUNDS DATA (Check if Applicable) a. <input type="checkbox"/> ADDITIONAL FUNDS IN THE AMOUNT OF \$ _____ ARE REQUIRED (See Justification in Block 13) b. <input type="checkbox"/> FUNDS IN THE AMOUNT OF \$ _____ ARE NOT REQUIRED AND MAY BE WITHDRAWN					
13. REMARKS					
14. ACCEPTING ACTIVITY (Complete Address) <b>COMPLETE ADDRESS OF ACCEPTING ACTIVITY</b>			15. TYPED NAME AND TITLE OF AUTHORIZED OFFICIAL <b>AUTHORIZED OFFICIAL AT ACCEPTING ACTIVITY</b>		
			16. SIGNATURE		17. DATE

## GOVERNMENT PURCHASE CARD (GPC)

1. PURPOSE. To outline the MNC-I policy and procedures on the use of the Government Purchase Card (GPC) for theater operations.

2. REFERENCES:

- a. USARCENT Resource Management Handbook, dated 1 January 2005.
- b. MNC-I FRAGO 359 [19 APR 06 DTU] to MNC-I OPORD 05-03, Task 3.

3. GUIDELINES.

a. Government Purchase Cards (GPC) are not issued or managed in theater. If units have active cards in theater that were brought from home station, they may be used for purchases in accordance with the following guidelines.

b. Deploying units supporting the contingency operation will receive an initial funding distribution to assist them in establishing operations. After the initial distribution, funding will be distributed incrementally monthly, quarterly, or semiannually based on funding availability.

<u>UNIT SIZE</u>	<u>INITIAL MONTHLY</u>	<u>MONTHLY</u>
Battalion/Separate Company	\$ 3,000	\$ 1,000
Brigade	\$ 5,000	\$ 3,000
GO Command	\$10,000	\$ 7,000

c. At the end of the billing period, the credit card holder will provide their list of purchases, copies of receipts, and a clearance memorandum from the IPBO to the Resource Management Office.

d. Prior to GPC reimbursement, funding must first be approved on the unit's monthly spend plan and is limited to the unit's funding distribution.

e. The Resource Management Office will provide a Military Interdepartmental Purchase Request (MIPR) to the home station to reimburse for GPC expenditures in theater.

f. Prohibitions for purchases with a Government Purchase Card are the same for those of a Field Ordering Officer. (See pages J-18 thru J-19 for list of prohibited items)

## *SPECIAL INTEREST ITEMS*

1. PURPOSE: To outline the MNC-I policy and procedures pertaining to the purchase of furniture and appliances.

2. REFERENCES:

A. MNF-I FRAGO 292 (CG MNF-I FISCAL POLICY) ANNEX C: MNF-I Special Interest Items Purchasing Policy and Procedures.

B. MNC-I FRAGO 359 [19 APR 06 DTU] to MNC-I OPORD 05-03, Task 3.

3. GENERAL. MNC-I is beyond the initial basing stage in Iraq. It is assumed that subordinate units are equipped with sufficient furniture and appliances to cover their needs and should have only a modest requirement for the next few years.

4. GUIDELINES:

A. Initial requests for furniture purchase and exceptions to guidance must have a justification memorandum signed by a General Officer. Furniture replacement requests will be limited to once every three years and must be signed by a General Officer or meets one of the exceptions below. Requests may be made more often for:

1). Increased manpower numbers on a unit's Joint Manning Document.

2). The destruction of furniture or appliances as a result of enemy actions or acts of nature.

3). Change of mission that requires more new furniture or appliances.

D. Relocation of office space is not an exception and the unit should make every effort to move the furniture and appliances with them or use what is provided at the new location. Coordination should be made with Property Book Officers at new locations to identify requirements for furniture and appliances. Purchasing a completely new set of office furniture is not an acceptable solution

E. Appliances such as washers, dryers, microwaves and refrigerators are not considered mission critical. Unless specifically designated as refrigeration of medicines, requests for exception to this policy must have a legal opinion and a justification letter signed by the MSC's SJA and Chief of Staff, respectively. For MNC-I staff sections and separate brigades, the justification letter must be signed by the MNC-I SJA and Chief of Staff, respectively.

F. MWR funded furniture and appliance purchases are common property and should be located in office spaces or common areas such as day rooms, reception areas or recreational rooms. Furniture and appliances, purchased with appropriated unit funds, are generally not intended for use in private quarters or force provider tents or trailers.



REPLY TO  
ATTENTION OF

**HEADQUARTERS**  
MULTI-NATIONAL CORPS-IRAQ  
BAGHDAD, IRAQ  
APO AE 09342

SEP 23 2006

FICI-CG

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: MNC-I Policy Letter # 5 – Purchase and Distribution of Commemorative Coins in Multi-National Corps-Iraq (MNC-I)

1. References.

- a. Title 5, U.S.C. 4503.
- b. Title 10, U.S.C. 1125.
- c. AR 37-47, Representation Funds of the Secretary of the Army, 12 March 2004.
- d. AR 600-8-22, Military Awards, 31 December 1999.
- e. DA Pamphlet 672-20, Incentive Awards Handbook, 1 July 1993.
- f. Third U.S. Army/ARCENT/CFLCC Unit Coin Policy, 1 July 2004.
- g. Multi-National Force – Iraq, Memo, Commemorative Coin Policy, 11-1

2. Purpose. This policy is for the purchasing and awarding of coins by MNC-I principal agencies and subordinate units as a device to recognize personal achievements. This policy does not address the presentation of coins that have been procured by private or personal funds.

3. Applicability. This policy applies to all Active Army (AA), US Army Reserve (USAR), Army National Guard (ARNG), US Navy (USN), US Marine Corps (USMC), US Air Force (USAF).

4. General.

a. Unit coin medallions are custom-minted and emblazoned coins or similar items, typically highlighting the unit's insignia on one side and an inscription on the reverse side. These medallions are generally presented by the Commander (CDR) or on behalf of the Commander.

b. Commanders and Command Sergeants Major of Battalion-sized units and above are authorized to procure and purchase unit coins. Staff officers may not use appropriated funds to purchase coins. Typically, the coin will have the unit insignia on one side and an inscription on the reverse side. Commanders may have only one coin design for their unit.

c. General Officer Commanders and equivalent-level Command Sergeants Major may purchase and present coins that reflect their position, as well as coins reflecting their unit insignia.

d. Coins may be presented to Department of Defense (DoD) personnel in order to recognize outstanding accomplishments that further the efficiency and effectiveness of the MNC-I mission.

e. Coins may also be presented to unaffiliated personnel as honorary awards for services and accomplishments that significantly assist or support the military, MNC-I functions, services, or operations using Official Representation Funds (ORFs).

f. Staff sections may request MNC-I coins from the Commanding General's Aide-De-Camp or Executive Officer for presentation purposes.

g. Subject to the limitations contained in the policy, the MNC-I Commander delegates the authority for purchasing unit coins to Commanders of battalion-sized units and above.

#### 5. Unauthorized Use.

a. No coins will be purchased that are "personalized" with the presenter's name inscribed on the coin. The presenter's name may be subsequently engraved on a coin, on a case-by-case basis, for individual presentation.

b. Unit coins will not be given away as mementos and should not be presented merely for an individual's normal performance of regularly assigned duties.

c. Unit coins must be awarded for performance and will not be presented to superiors or peers.

d. Coins purchased with appropriated funds cannot be presented to foreign military or foreign civilian personnel.

e. Coins presented to foreign dignitaries must be purchased with personal funds or ORFs.

f. MNC-I will only fund MNC-I coins. All assigned units will purchase non-MNC-I coins with home station funds.

#### 6. Subordinate Unit Responsibilities.

a. Chiefs of Staff assigned to subordinate commands have the authority to approve the purchase of military coins within their respective units.

FICI-CG

SUBJECT: MNC-I Policy Letter # 5 – Purchase and Distribution of Commemorative Coins in Multi-National Corps-Iraq (MNC-I)

b. Commanders have the authority to expend no more than \$1,000 per Battalion and \$3,000 per Brigade with OMA funds. Multi-National Division and Sustainment Command (Expeditionary) General Officer Commanders and equivalent-level Command Sergeants Major may expend no more than \$5,000 each with OMA funds.

c. Commanders will establish unit coin policies within their command.

d. The Chief of Staff, MNC-I must approve coin purchases for any unit if the estimated cost exceeds those outlined in paragraph 6b.

e. Coin acquisitions exceeding \$10,000 will be coordinated with the Commander of the United States Central Command and the Commander Coalition Forces Land Component Command.

f. The MNC-I Commanding General, Deputy Commanding General and Command Sergeant Major may each purchase sufficient coins for ten percent of the MNC-I population, with a spending limit of \$10,000 per office. Expenditures over \$10,000 must be coordinated per paragraph 6e.

g. All MNC-I units and organizations that purchase coins with appropriated funds will track these expenditures and submit a monthly report not later than the third of each month to the MNC-I Comptroller.

h. Yearly expenditure reports will be forwarded to the MNF-I Resource Management, Plans and Policy Division, by the MNC-I C-8, no later than 1 November for the preceding fiscal year.

7. Point of contact is MNC-I, SJA, CPT Alison Tulud, (318) 822-2094, or email: [alison.tulud@iraq.centcom.smil.mil](mailto:alison.tulud@iraq.centcom.smil.mil).



PETER W. CHIARELLI  
Lieutenant General, USA  
Commanding

DISTRIBUTION:

IAW MNC-I (SJS) Form 1853: A

## *OFFICIAL REPRESENTATION FUNDS (ORF)*

1. PURPOSE: To outline guidance criteria and administrative instructions concerning the Secretary of the Army Official Representation Funds (ORF).

2. REFERENCES:

A. Department of Defense Directive (DoDD) 7250.13, Official Representation Funds.

B. AR 37-47, Representation Funds of the Secretary of the Army, 12 March 2004.

C. DFAS IN 37-100-XX, The Army Management Structure.

D. Memorandum, CFLCC, 27 January 2006, Subject: Official Representation Funds Policy.

3. GENERAL. The following procedures will be utilized regarding ORF.

A. Official Representation Funds may be used to extend official courtesies, on a modest basis, to the authorized guests. AR 37-47, paragraph 2-2, authorizes the use of ORF for the following reasons:

1). Hosting authorized guests to maintain the standing and prestige of the United States at home and abroad.

2). Luncheons, dinners, receptions, and participation at DoD sponsored events held in honor of authorized guests.

3). Entertaining local authorized guests to maintain civic and community relations.

4). Receptions for local authorized guests to meet with newly assigned Commander(s).

5). Official functions, floral wreaths, decorations, and awards in observance of foreign national holiday and similar occasions taking place in foreign countries.

6). Official Representation Funds may be used to purchase gifts and mementos for presentation to authorized guests in connection with official courtesies.

B. Approval Authority.

1). Management and authority of ORF will be retained at MNF-I, MNC-I, MNSTC-I HQ levels. Authority may not be delegated to staff elements or subordinate units within these commands.

2). Authority to issue invitations to foreign authorized guests rests only with the CG of MNF-I, MNC-I, MNSTC-I.

3). The Secretary of the Combined Joint Staff (SCJS)/Secretary of the General Staff (SGS) will receive and validate all requests for ORF. Before each event, the SJA will provide a legal review before the Resource Management office gives final approval and provides financial data. See attachment for flow chart of request and paperwork.

#### C. Limitations.

1). The minimum ratio of authorized guests to DoD personnel must be met before ORF funds can finance the total cost of the official courtesy. For parties of less than 30 total persons, a ratio of 1 authorized guest to 4 DoD personnel (20 percent) is required. For parties of 30 or more persons, a ratio of 1 authorized guest to 1 DoD person (50 percent) is required. If these minimum ratios are not met, see AR 37-47, para 2-5b for additional guidance.

2). Funds cannot be used solely for the entertainment of, or in honor of, DoD personnel except as specifically authorized by AR 37-47.

3). Funds will not be used for the presentation to or acceptance by, DoD personnel of mementos/gifts of any kind except as provided by AR 37-47.

4). Total value of gifts presented during official courtesies will not exceed \$285 per authorized guest. Individual meals will not exceed \$25 for breakfast, \$35 for lunch, and \$50 for dinner.

5). Funds cannot be used to purchase items not specifically authorized in AR 37-47 unless an exception to policy is requested and approved by the Administrative Assistant to the Secretary of the Army prior to purchasing the gift. AR 37-47, paragraph 2-10b lists items for which no exception will be made.

6). Funds cannot be expended using a Bulk Fund PR&C due to the requirement for a legal review prior to purchasing items.

#### D. Funding. The Resource Management office will:

1). Centrally manage funds for their headquarters, staff elements and subordinate commands.

2). Appoint, in writing, a Certifying/Approving Official (CAO) IAW AR 37-47, paragraph 3-1b.

3). Provide a fund cite for financial documents.

#### E. Custodian and Inventory Control.

1). The SCJS/SGS for each command (MNF-I, MNC-I and MNSTC-I) will appoint, in writing, a Representation Funds Custodian (RFC).

2). The RFC is responsible for maintaining central files for all visits to their command. The SCJS/SGS will ensure the RFC maintains a funds control register and guest/attendance sheets.

3). The RFC will maintain an inventory of all gifts on hand and will conduct a quarterly reconciliation.

F. Gifts/Mementos (See AR 37-47).

1). Property of the US Government (GORTEx jackets, boots, uniforms, or other equipment and supplies) may not be presented as a gift or memento to DoD personnel or foreign government officials.

2). Gifts may not be purchased with appropriated funds unless authorized by statute.

3). Presentation of a gift or memento to DoD personnel is strictly prohibited.

4). Gifts presented during official courtesies will not exceed \$285. Total gift cost includes the basic purchase price, plus preparation costs for presentation (e.g. affixing logos, engraving, mounting in shadow boxes, gift-wrap, etc).

5). The RFC is responsible for maintaining accountability of gifts. The RFC will conduct an inventory on a quarterly basis and when the RFC is replaced. The results of each inventory will be annotated in an inventory log book. This log will also account for each gift purchased, and when and to whom it was presented. The outgoing RFC will conduct a 100% inventory prior to relinquishing responsibilities to a new RFC. Official Representation Fund gifts and refreshments will be stored in a secure location with access only by the RFC. Biannually, the CAO and a non-interested officer will conduct and inventory of these items.

6). Giving gifts, mementos, souvenirs or tokens of appreciation not covered by reference b is considered to be a personal expense.

G. Management Controls. Official Representation Funds will be identified on the MNF-I Management Control Plan. As an assessable item, it will be scheduled for a formal evaluation IAW AR 11-2. The Internal Control Sections of MNF-I, MNC-I and MNSTC-I will conduct and document an internal audit of their respective program annually. Results will be provided to the MNF-I ORF program manager NLT 1 July each year.

## **APPENDIX K**

### **TRANSFER OF AUTHORITY (TOA)**

1. PURPOSE: To provide guidance and procedures to ensure a complete financial handover takes place between incoming and outgoing units as a means to maintain control, continue tactical operations, and ensure reconstruction efforts continue.

2. REFERENCES:

- A. MNF-I FRAGO 512, 11 December 2004, Transfer of Authority—Financial Issues.
- B. MNC-I FRAGO 009, 24 April 2006, CERP Standard Operating Procedures.
- C. MNC-I FRAGO 125, 7 June 2006, OIF Rewards Guidance..

3. PROCEDURES:

A. At TOA-120 day the following actions will be accomplished:

- 1). Incoming unit conducts predeployment site survey (PDSS) with outgoing unit.
- 2). Outgoing units provides necessary documentation and training recommendations for incoming G8 Mission Readiness Exercise (MRX) preparation.
- 3). Outgoing units provides copy of Money as a Weapons System (MAAWS), all applicable Standard Operating Procedures (SOP), Fragmentary Orders (FRAGO), and Theater specific policies and regulations.
- 4). Outgoing units ensures CJ8 Resource Management homepage is current and accessible to incoming unit.

5). Incoming unit identifies requirements needed in advance of arrival to outgoing unit.

B. At TOA-60 days the following actions will be accomplished:

- 1). Outgoing units submits requirements validation requests (JARB, C6VB, JFUB) for service and support contracts for incoming unit.
- 2). Outgoing unit requests CJ8 assistance visit.

C. At TOA-30 days the following actions will be accomplished:

- 1). Outgoing and incoming units jointly develop and submit monthly spend plan.

2). Incoming G8 requests delegation of authority from MNC-I CJ8.

3). Outgoing and incoming units perform joint reconciliation to ensure complete and thorough handover of all financial source documents, recurring contracts, Division Acquisition Management Program Information and projects lists for all funding sources, which include but are not limited to CERP, CHHRP, IIG, IRRF, ISFF, OMA, ORF, ICF, and Rewards.

4). Outgoing unit and incoming unit perform joint review of current and future validation requirements (JARB, JFUB, C6VB, Super CARB, ONS) due within the next 90 days.

5). Incoming units will retain all hard copy files (PR&C, MIPR, Bulk fund, etc.) for OMA and IRRF accounts at unit level.

6). Outgoing and incoming units will conduct joint review of current and next month's OMA spend plan requirements.

7). Outgoing and incoming units will conduct joint review of reoccurring contracts, to include current funding status, period of performance, and designation or a new Contracting Officer Representative (COR) as required.

8). Outgoing units in coordination with incoming units will provide a timeline to MNC-I CJ8 showing at a minimum dates for the following: When all files will be passed to CJ8 or gaining unit, as applicable; cut-off dates for outgoing units to initiate new purchase requests and CERP Projects; last day of DbCAS entries for outgoing units (US Army only); dates of report submissions to CJ8.

9). Prior to RIP / TOA outgoing units must ensure 100% clearance of outgoing pay agents and field ordering officers prior to their departure from Theater.

10). Prior to RIP / TOA outgoing units must provide to MNC-I CJ8 a status of all fund balances and agreed to status of "transferred authority." This includes funding, cash, and account processing codes.

11). Outgoing units will provide to MNC-I CJ8 CERP Manager the following CERP documents: Files on all completed projects to include those funded with CERP, CHRRP, and IIG; complete source documentation, planned and in-progress CERP projects from outgoing to incoming Commander; and a complete status update IAW MNC-I FRAGO 009.

12). Outgoing units will report 100% review of all completed CERP files to MNC-I CJ8 NLT one week prior to RIP / TOA.

13). Incoming US Army units will inherit the Document Registers and all fiscal transactions in DbCAS / STANFINS that the outgoing unit has processed to date. This includes the current fiscal year and prior year actions.

14). Incoming US Army units will use the same Account Processing Code (APC) structure as the outgoing units for the remainder of the fiscal year. Changes to the APC structure for the next fiscal year should be submitted to MNC-I CJ8.

15). Incoming units will retain all open and completed current fiscal year source document packets for OMA, ISFF, IRRF, and rewards at unit level.

16). Incoming units will provide and updated list of Rewards Authorization Officers (RAOs) IAW MNC-I FRAGO 326 to the MNC-I ECC Rewards POC.

17). Incoming units' pay agents must complete training provided by servicing finance unit before receipting appropriated and Iraqi funds IAW established policies.

18). Incoming units will ensure that their Field Ordering Officers (FOO) and Project Purchasing Officers (CERP) complete training at PARC-Forces Contracting Office.

19). Incoming unit must provide a Management Control Plan (MCP) Appointment letter IAW current MNC-I MCP Implementation Plan.

D. At TOA-14 days the following action will be accomplished:

1). Incoming units provides IRP update to MNC-I CJ8.

E. At TOA-7 days the following actions will be accomplished:

1). Incoming and outgoing units submit Transfer of Authority letter (See Figure 13) to MNC-I CJ8.

2) Outgoing unit will cease all Official Representation Fund (ORF) expenditures. Any requests after this point will be considered on a case-by-case basis by the MNC-I CoS.

3) Outgoing units will ensure transfer of all ORF source documents from outgoing to the incoming ORF funds custodian.

F. At TOA-2 days the following action will be accomplished:

1) MNC-I CJ8 will issue Delegation of Authority Memorandum to incoming unit comptroller.

G. At TOA-1 day the following action will be accomplished:

1). Outgoing US Army comptroller will send Transfer of Fund Certification Authority from outgoing to incoming unit comptroller to the MNC-I CJ8.

### FIGURE 13

FICI-RM

date

MEMORANDUM FOR Commander, Multinational Corps – Iraq (Attn CJ8)

SUBJECT: Transfer of Authority (Financial Management) between “Outgoing Unit” and “Incoming Unit”

1. IAW MNC-I FRAGO XXX dated XX July 2006, the “Incoming unit” has verified and accepts responsibility from the “Outgoing Unit” for the following OMA NonStock Fund amounts as of (date):
  - a. Funding Received via Resource Distribution Documents: \$xxx,xxx,xxx through RDD #xx. Dated xx xxx xx.
  - b. Commitments: \$xxx,xxx,xxx
  - c. Obligations: \$xxx,xxx,xxx
  - d. Disbursements: \$xxx,xxx,xxx
  - e. Available Funding: \$xxx,xxx,xxx
2. Special Funding Programs. The “Incoming unit” has verified and accepts responsibility from the “Outgoing Unit for all funds issued via RDD” for the following:
  - a. CERP
    - i. Funding Received via Resource Distribution Documents: \$xxx,xxx,xxx through RDD #xx. Dated xx xxx xx.
    - ii. Commitments: \$xxx,xxx,xxx
    - iii. Obligations: \$xxx,xxx,xxx
    - iv. Disbursements: \$xxx,xxx,xxx
    - v. Available Funding: \$xxx,xxx,xxx
    - vi. IRMS data base is updated with current project financial status
      1. For closed projects ensure unused funds were deobligated
      2. For ongoing projects validate commitments and obligations
  - b. ISFF/IRFF
    - i. Funding Received via Resource Distribution Documents: \$xxx,xxx,xxx through RDD #xx. Dated xx xxx xx.
    - ii. Commitments: \$xxx,xxx,xxx
    - iii. Obligations: \$xxx,xxx,xxx

- iv. Disbursements: \$xxx,xxx,xxx
- v. Available Funding: \$xxx,xxx,xxx

SUBJECT: Transfer of Authority (Financial Management) between “Outgoing Unit” and “Incoming Unit”

c. CERP Bulk Cash:

- i. All cash has been turned in to finance.
- ii. All leaving PPO's and PAY AGENTS have cleared there accounts through the MNC-I CJ8 and their finance office per the CERP SOP's.
- iii. All gaining units must determine the requirement for PPO's and Pay Agents and receive appropriate training before drawing funds.

d. REWARDS:

- i. All cash has been turned in to finance.
- ii. All leaving Rewards and PAY AGENTS have cleared there accounts through the MNC-I CJ8 and their finance office per the REWARDS SOP's.
- iii. All gaining units must determine the requirement for PPO's and Pay Agents and receive appropriate training before drawing funds.

3. The “Incoming Unit” accepts responsibility for the following APCs for Current year and will be responsible for resolving prior year issues as they arise (i.e. STANFINS queries, NULOs, prior year adjustments, and historical hard files on hand)

a. NonStock Fund APC Structure:

	101st AA Div (25th ID) - TF Liberty
44A*	1 BCT, 1AD (3/2 BDE)
44B*	3 BCT, 4ID (Not used)
44C*	1 BCT, 101st (3/25 BDE)
44D*	3 BCT, 101st (not used)
44E*	101st CAB (CAB)
44F*	555 CSB (ME) (105th Eng)
44G*	(not used)
44H*	501st STB (25th ID UEX & 149th BDE Garrison)
44J*	18 FA BDE (169th FA)
44K*	SEPARATE ELEMENTS (Separates)

SUBJECT: Transfer of Authority (Financial Management) between “Outgoing Unit” and “Incoming Unit”

b. Stock Fund APC Structure:

	101st AA Div (25th ID) - TF Liberty
4A3	(101ST HQ) (25th HQs)
4B3	1ST BDE / 1 AD (not used)
4C3	3 BDE / 4ID (3 BCT / 1)
4D3	1 BCT /101ST (3 BCT / 25th)
4E3	3 BCT / 101ST (not used)
4F3	101 CAB (AVN) (Avn BDE 25th)
4G3	18 FA BDE (169th FA)
4J3	none (not used)
4K3	555 CSB M (105 ENG)
4L3	SEP BNS (separates)
4M3	501ST STB (149th Garrison)

4. The “Incoming Unit” is aware of the “Delegation of Authority” thresholds established by the MNC-I CJ8. Other Theater policy memoranda are available on the MNC-I CJ8 website and in the Money As A Weapons System (MAAWS) book.

5. Outstanding issues that remain to be resolved include:

a. Issue A. (Describe Issue, what remains to be completed/resolved, and expected completion date).

6. The point of contact for this memorandum is “incoming Unit RM” at DSN 318-xxx-xxxx.

JOE M. SNUFFY  
LTC, IN  
Comptroller “Outgoing Unit”

MARY G. WHIZ  
LTC, FI  
Comptroller “Incoming Unit”

## **APPENDIX L**

### **RESOURCE SUPPORT TO OTHER SERVICES AND SOF**

#### **1. REFERENCES:**

- a. Joint Pub 4-0, Doctrine for Logistics Support of Joint Operations
- b. CENTCOM Reg 415-1, The Sand Book, dtd 1 Dec 04
- c. Joint Pub 1-02, DoD Dictionary of Military and Associated Terms

**2. INTRODUCTION:** The Multi-National Corps – Iraq is funded with Operations and Maintenance Army (OMA) funding for sustainment costs. However, Commander USCENTCOM has also designated MNC-I as the Base Operating Support Integrator (BOS-I) and Senior Airfield Authority (SAA) on key facilities. In accordance with general funding constructs, MNC-I as the Army's Title X headquarters in theater is responsible for funding those tasks directed by a competent authority. This includes the provision of BOS for other services where directed by USCENTCOM, but does not include other operational costs for non-Army units. These costs are the responsibility of the Service incurring those operations and maintenance costs.

#### **3. SPECIFIED RESPONSIBILITIES:**

a. Base Operating Support Integrator (BOS-I). The Commander, USCENTCOM has used his directive authority for logistics to designate the BOS-I for all principle bases in the CENTCOM AOR.

(1) Services are provided regardless of the branch of military service benefiting from those BOS-I services. When the BOS-I is ARCENT, those services are provided in Iraq by MNC-I through our MSC's and are provided to Army standard and in accordance with the CENTCOM Sand Book. Units requesting services above the Army standard may initiate those services through a direct contract funded by their Service.

(2) The role of the BOS-I is to provide, without reimbursement, those BOS functions described in the CENTCOM BOS-I matrix and in reference b. for DoD forces on the designated installation. Provision of those services is subject to the MNC-I validation process and available funding.

(3) BOS-I functions are also referred to as Basic Life Support and includes messing, water, sanitation, utilities, and lodging among other things. Specifically excluded from BOS-I, and not included as Basic Life Support, are operational costs such as office space, office consumables, maintenance of vehicles, etc. These costs are a service operational cost and not included in the BOS-I responsibilities.

b. Senior Airfield Authority (SAA). In addition, the Commander, USCENTCOM has used his directive authority for logistics to designate the SAA for all principle air bases in the CENTCOM AOR.

(1) The role of AI includes responsibility for the control, operation and maintenance of an airfield to include the runways, associated taxiways, and parking ramps as well as land and facilities whose proximity affects airfield operations. The SAA will also seek funding for airfield operations, maintenance and construction requirements.

(2) MNC-I will not fund, either directly or through reimbursement, responsibilities of other services who have been designated as the AI for specific airbases.

c. LOGCAP Executive Agent. In accordance with Joint Doctrine, Services are responsible for the life support of their personnel. However, to achieve overall logistics efficiencies, the Geographic Combatant Commander may use his directive authority for logistics to direct one service provide a specific type of support to other Services in theater. ARCENT has been designated the theater EA for the provision of LOGCAP support. In this role, MNC-I provides LOGCAP support to other Services operating in the Iraq AOR. Reimbursement to the OMA appropriation for this support to other services is coordinated at the Service level.

(1) In order to manage overall LOGCAP costs and to ensure consistency of support, all LOGCAP funding in the MNC-I AOR is centrally managed at the MNC-I level. Other Services are not authorized to increase support provided under LOGCAP without the specific approval of MNC-I, regardless of the source of funding for this increase.

(2) LOGCAP support provided to other (non-DoD) agencies will be provided on a reimbursable basis and coordinated with MNC-I C8.

d. Special cases. Inconsistencies exist with the discrepancy between other (non-Army) Services who are designated as BOS-I and who also receive LOGCAP support to fulfill a portion of those BOS-I responsibilities. Since the life support that is provided under LOGCAP is reimbursed at the service level, these problems are minimized. MNC-I continues to provide LOGCAP support on those bases, but other BOS-I support provided by separate contract are the funding responsibility of the designated Service. Additionally, LOGCAP support provided will be IAW the standards established in Ref b. Further clarification of Sand Book standards is the responsibility of MNC-I C7 Facilities.

#### **4. ADDITIONAL SUPPORT TO OTHER SERVICES:**

a. Unless specifically directed by competent authority, OMA funds will not be used to provide support to other Services. Each Service is responsible for budgeting and funding their own operations.

## **5. SUPPORT TO SPECIAL OPERATIONS FORCES (SOF):**

a. Background. US Special Operations Command receives Major Force Program 11 (MFP-11) funding directly from OSD for Special Operations peculiar (SO-p) requirements. All other requirements (referred to as Service Common requirements) are the responsibility of the Services to provide to SOF in the same manner that they would provide to conventional forces. The definition of Special Operations peculiar (SO-p) does not provide definitive guidance as to what is the funding responsibility of USSOCOM and what is the responsibility of the supporting Service. To facilitate the adequate support to SOF, the guidance outlined below is to elaborate upon the MNC-I responsibility to fund SOF in the MNC-I AOR. The definition of SO-p is:

Equipment, material, supplies, and services required for special operations missions for which there is no Service-common requirement. These are limited to items and services initially designed for, or used by, special operations forces until adopted for Service-common use by one or more Military Service; modifications approved by the Commander, US Special Operations Command for application to standard items and services used by the Military Services; and items and services approved by the Commander, US Special Operations Command as critically urgent for the immediate accomplishment of a special operations mission. (Reference c.)

b. Operations and Maintenance. Within Iraq, there could potentially be SOF from all 4 services (Army SOF, Navy SOF, Air Force SOF, Marine Corp SOF). As stated above and in CENTCOM orders, service common support for SOF is the responsibility of their parent Service who receives O&M funding to support the costs performing their mission requirements and supporting forces from their service. USSOCOM receives MFP-11 funding only to support SO-p requirements. Specific guidance as it applies to different Services SOF is outlined below.

(1) Operations and Maintenance funding for Army SOF. MNC-I's responsibility to fund Army and select Joint SOF ground units (such as JSOTF-AP) is the same as the requirement to fund other Army units. This includes the provision of Base Operating Support, fuel, Class IX repair parts for service common equipment, facility maintenance, non-tactical (administrative) vehicles, and common IT support.

(2) Operations and Maintenance funding for other Services (non Army) SOF. MNC-I's responsibility to fund non-Army SOF (such as Air Force or Navy SOF) is the same as addressed in paragraph 4. "Additional Support to Other Services" above. This support is limited to non-operational costs which include BOS (where designated by CENTCOM). All other service common operational costs are the responsibility of the

parent service (i.e. IT, NTV's or office expendables used by Air Force SOF is an Air Force funding responsibility).

(3) Facility Repair and Maintenance. Maintenance is the work required to preserve and maintain a real property facility (RPF) in such a condition that it may be effectively used for its designated functional purpose. Repair is the restoration of a RPF to such a condition that it may effectively be used for its designated functional purpose. Repair does not include increases in quantities of components or extensions of utilities to areas previously not served; this would be classified as construction. Facility repair and maintenance is considered a Service Common requirement.

c. Facilities Costs. The rules regarding funding of SOF facilities costs have evolved over time. In summary, construction costs for facilities that provide life support and Base Operating Support infrastructure to SOF are the responsibility of the Services. Construction costs of SO-peculiar operational facilities is the responsibility of USSOCOM. Maintenance and repair of facilities is a Service cost.

(1) Construction. Construction is defined as the capital improvement of real property. It is the erection, installation, or assembly of a new facility. Construction includes the addition, expansion, extension, alteration, conversion, or complete replacement of an existing facility. This encompasses the relocation of a facility, installing permanent equipment in a building and the related site preparation, foundation and utility work associated with the setup of relocatable buildings. Generally, construction is funded with MILCON appropriation. But as defined in Title 10, sec 2805, construction under \$750K (\$1.5M if solely intended to correct a life, health, or safety risk) may be funded with the O&M appropriation. Additionally, during FY07 Congress has approved Contingency Construction Authority (CCA) which allows construction that would otherwise be performed with MILCON appropriation to be funded with the O&M appropriation after appropriate approvals. MNC-I C7 Facilities are the proponent for MNC-I's CCA requests.

(a) Regardless of the appropriation to be used (MILCON or O&M), the Services are responsible for providing construction as required to provide life support and Base Operating Support to SOF. This includes Dining Facilities, power and sewage, latrines, living facilities, MWR, airfields and HLZs, taxiways, aircraft parking ramps, and other necessary life support requirements and base infrastructure. MNC-I is responsible for providing this construction support to SOF at the same standards and levels that are provided to other Service's forces. This means that if MNC-I is designated the BOS-I for a particular installation, we provide that support to SOF at the same level as is provided to other Army, Navy, or Air Force units. Based on the BOS-I matrix, if another service is designated as the BOS-I on a FOB, they must provide that support to SOF in accordance with their Service procedures and CENTCOM orders. Note, it does not matter whether SOF are the only occupants of an installation, MNC-I's

responsibility is based on the construction required; this does not change if SOF are the only ones to benefit from that construction.

(b) Regardless of the appropriation to be used (MILCON or O&M), SOCOM is responsible for funding the construction of SO-p operational facilities for SOF. This includes equipment maintenance and storage for SO-peculiar equipment and aircraft hangars, as well as training sites that are exclusively for SOF use.

(2) Facility Maintenance and Repair. Maintenance is the work required to preserve and maintain a real property facility (RPF) in such a condition that it may be effectively used for its designated functional purpose. Repair is the restoration of a RPF to such a condition that it may effectively be used for its designated functional purpose. Repair does not include increases in quantities of components or extensions of utilities to areas previously not served; this would be classified as construction. Long-standing precedence is that facility maintenance and repair is considered a base sustainment cost and are the responsibility of the parent Service; either ARCENT, MARCENT, NAVCENT, or CENTAF. In the case of maintenance and repair for Army SOF facilities, MNCI is responsible as the Army Service headquarters in theater.

(3) Supported SOF organizations may submit construction requirements to MNC-I for consideration in the requirements validation process. If, during the validation process the project is determined to be a valid requirement but not appropriate for OMA funding, the validation documentation will reflect this decision. The supported SOF organization may then submit the project to their parent SOF component command for consideration for MFP-11 funding.

**6. RESOLUTION OF FUNDING ISSUES:** Any issue regarding the appropriate use of OMA funding should be referred to the MNC-I C8. Attempts will be made to resolve issues at the lowest level possible and with minimal impact on the warfighter. As the Army Title X headquarters for Iraq, the final decision on the use of OMA funding to support other Services or SOF rests with the MNC-I Chief of Staff.

## ***REFERENCES***

### **PUBLICATIONS - DEPARTMENT OF DEFENSE (DOD)**

Defense Finance and Accounting (DFAS) – 37-1 – Finance & Accounting Policy Implementation

Defense Finance and Accounting (DFAS) – 37-100-FY – The Army Management Structure

Department of Defense (DOD) 7000.14-R – Financial Management Regulation

### **PUBLICATIONS – JOINT**

Joint Publication (JP) 1-06 – Joint Tactics, Techniques, and Procedures for Financial Management during Joint Operations

### **PUBLICATIONS - DEPARTMENT OF THE ARMY (DA)**

Army Regulation 37-47 – Representation Funds of the Secretary of the Army

Army Regulation 350-28 – Army Exercises

Field Manual (FM) 14-100 – Financial Management Operations

Field Manual (FM) 100-23 – Peace Operations

### **PUBLICATIONS - THIRD ARMY/ARCENT**

Headquarters, Third U.S. Army/USARCENT Memo 10-1 – Organization and Functions Manual

USARCENT C/FLCC – C8 – Chapter 8, Financial Management Operations

### **REVIEW/VALIDATION BOARD WEBSITES**

JARB (CENTRIXS) – <http://sps.irq01.centcom.mcfi.cmil.mil/c9/jarb/default.aspx>

JFUB (SIPRNET) –  
<http://www.iraq.centcom.smil.mil/sections/eng/c7%20facilities/facilities%20planning/jfub/JFUB%20Status%20Log.xls>

C6VB (SIPRNET) - <http://sps.iraq.centcom.smil.mil/C5/C6%20OPS/default.aspx>

### **WEB SITES**

Air Force Home Page – <http://www.af.mil/>

Army Home Page – <http://www.army.mil>

Army Financial Management Homepage: <http://www.asafm.army.mil>  
Assist Sec. of the Navy for FM & C: <http://www.finance.hq.navy.mil>  
Comptroller General Decisions – <http://www.gao.gov/decisions/decision.htm>  
Congressional Budget Office – <http://www.cbo.gov>  
Contract Pricing Reference Guides – <http://www.gsa.gov/staff/v/guides/volumes.htm>  
Cost and Economic Analysis Center – <http://www.CEAC.Army.mil/default.htm>  
DFARs Web Page (searchable) – <http://www.dtic.mil/dfars>  
DOD Home Page – <http://www.dtic.mil/defenseink>  
FAR (GSA) – <http://www.arnet.gov/far/>  
Federal Accounting Standards Advisory Board – <http://www.fasab.gov>  
Federal Acquisition Virtual Library – <http://159.142.1.210/References/References.html>  
Financial Management Regulations – <http://www.dtic.mil/comptroller/fmr/>  
Financial Operations (Jumpsites) – <http://www.asafm.army.mil>  
FORSCOM – Army Forces Command - <http://www.forscom.army.mil/>  
GAO Home Page – <http://gao.gov/cgi-bin/ordtab.pl>  
GAO Comptroller General Decisions – [http://www.access.gpo.gov/su\\_docs/aces/](http://www.access.gpo.gov/su_docs/aces/)  
U.S. Army Publications – <http://www-usappc.hoffman.army.mil/gils/gils.html>  
Joint Publications – <http://www.dtic.mil/doctrine>  
Joint Travel Regulations (JTR) – <http://www.dtic.mil/perdiem/jtr.html>  
Marine Corps Home Page – <http://www.usmc.mil>  
Navy Home Page – <http://www.navy.mil>  
OGC Contract Law Division – <http://www.ogc.doc.gov/OGC/CLD.html>  
Office of Management and Budget (OMB) – [http://www.accessgpo.gov/su\\_docs/budget/index/html](http://www.accessgpo.gov/su_docs/budget/index/html)  
OFPP (Best Practices Guides) – <http://www.arnet.gov/BestP/BestP.html>  
STARFIARS, STANFINS, and SARSS - <http://daynt6.daas.dla.mil/dodaac/dodaac.htm>  
Third United States Army (TUSA/USARCENT) - <http://www.arcent.army.mil/>  
U.S. Code – <http://law.house.gov/usc.htm>  
United States Central Command (CENTCOM) - <http://www.centcom.mil/>  
U. S. Army Forces Central Command (USARCENT) - [http://www.centcom.mil/components/arcent\\_page.htm](http://www.centcom.mil/components/arcent_page.htm)

## ***MNC-I C-8 CONTACT INFORMATION***

Although your unit's resource managers—who understand your fight best—are the clear first stop for all money needs, we stand ready to assist you at any time.

MNC-I C-8  
Camp Victory South, Iraq  
APO AE 09342  
DSN 318-822-XXXX

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Deputy C-8	3278
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